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PAPERWORK MANAGEMENT AND PRINTING FACILITIES

IN THE

UNITED STATES GOVERNMENT

PART I

FORMS MANAGEMENT

PREPARED BY THE

SUBCOMMITTEE TO STUDY FEDERAL PRINTING AND PAPERWORK

OF THE

COMMITTEE ON HOUSE ADMINISTRATION

(Pursuant to H. Res. 262, 84th Congress)

JULY 26, 1956.—Committed to the Committee of the Whole House on the State of the Union and ordered to be printed

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H. RES. 262, 84TH CONGRESS, 1ST SESSION

RESOLUTION

Resolved, That the Committee on House Administration, or any subcommittee thereof, is authorized to conduct a full investigation and study of the operations of federally operated printing services with particular reference to the administration, by rule, regulation, or otherwise of the provisions of law to Government printing, binding, reproduction, and distribution services, the sale and distribution of Government publications, and Government paperwork in general. For the purpose of carrying out this resolution the committee, or any subcommittee thereof, is authorized to sit and act during the present Congress at such times and places in the United States whether the House is in session, has recessed, or has adjourned, to hold such hearings and to require, by subpena or otherwise, the attendance and testimony of such witnesses and the production of such books, records, correspondence, memoranda, papers, and documents, as it deems necessary. Subpenas may be issued under the signature of the chairman of the committee or any member of the committee designated by such chairman, and may be served by any person designated by such chairman or member.

Scope of This Report

The scope of this report on the subject of forms management in the United States Government includes information concerning departmental and agency forms, United States Government standard forms, and standard accounting forms prescribed by the Comptroller General. Much of the information in this report was obtained from replies to letters of inquiry which were directed by me, as chairman of the subcommittee, to the heads of departments and agencies. In addition to the information obtained from replies to these letters, numerous discussions were held with representatives of departments and agencies, including those referred to in the Hoover Commission report, which have stated responsibilities set forth by statute concerning reports control and forms management. Information was also developed at hearings held by the subcommittee with responsible officials in the Bureau of the Budget, General Accounting Office, and the General Services Administration.

Wayne L. Hays,
Chairman.

Calendar No. 1202

84TH CONGRESS, 2d Session } HOUSE OF REPRESENTATIVES { REPORT No. 2945

FORMS MANAGEMENT IN THE UNITED STATES GOVERNMENT

JULY 26, 1956.—Committed to the Committee of the Whole House on the State of the Union and ordered to be printed

Mr. HAYS of Ohio, from the Committee on House Administration, submitted the following

REPORT

[Pursuant to H. Res. 262]

The Committee on House Administration, pursuant to the authority contained in House Resolution 262, 84th Congress, and its Subcommittee on Printing which was appointed to study federally operated printing services and Government paperwork in general, herewith report its findings on the subject of forms management in the United States Government.

The broad term "paperwork management" encompasses many elements of Government activity, among which are correspondence, forms, reports, directives, instructions, and publications. Related to these elements are: *Correspondence management*, concerned with letterwriting; *publications management*, concerned with selection of media, review for essentiality, preparation, format, production, and distribution of publications of all types; *records management*, concerned with the filing, retention, and disposal of official documents; and *forms management*, concerned with the review for essentiality, functional use, design, printing, and distribution of forms of all types.

NEED FOR FORMS MANAGEMENT

The involved and complex operation of the Federal Government has long invoked criticism by the public and some officials of the Government, in large measure because of the related paperwork, especially forms and reports. It is generally agreed that much of the administrative redtape and complexity of Government operations stem from the use of uncontrolled and uncoordinated forms. Needless to say, the volume of clerical and administrative activities in

Government operations is largely related to the number and type of forms involved in the day-to-day routine. Practical and progressive management is now giving increasing recognition to the value of scientific forms management to standardize and coordinate operational procedures effectively and to maintain economy of operation.

Forms management, including the consideration of related functional analysis and design, offers one of the most practical methods by which management may eliminate duplication and overlapping of operational routines, and at the same time provide, in the case of necessary procedures, one of management's most effective aids—i. e., correct, scientifically designed forms, together with carefully considered and coordinated related procedure.

Evidence of the need for "forms management" in the Government, as it has been more recently termed, was indicated as long ago as 1888. Mr. Cockrell, from the Select Committee To Inquire Into and Examine the Methods of Business and Work in the Executive Departments of the Government, stated in Senate Report 507 of the 50th Congress:

> The most feasible and practical remedy your committee can suggest is * * * to select a committee or commission of three competent, industrious, painstaking officers or employees of their respective departments most familiar with the existing methods of business therein, and with correct, proper, and prompt business methods generally, and not wedded to the idea that the age of the existing methods has made them the only correct and proper ones, or that any change therein will be an improvement.
>
> The committee or commission in each department should personally trace from inception to final disposition the various classes of public business therein transacted, ascertain the exact number of persons, officers, or employees through whose hands the same passes, the time, attention, and labor devoted thereto by each, the kind of work done thereto by each, and the entries and records made by each. With these data plainly and fully before them and understood by them, they ought then to be able to determine with certainty, safety, and accuracy exactly what can be omitted, what ought to be added, and the safe and proper changes to be made, and then prepare judicious, safe, and correct methods for the transaction of the various classes of public business, so that they can be finally disposed of with the greatest possible degree of correctness and promptness and with the least possible labor, briefing, notating, and copying, and with the smallest number of record entries and record books, and by passing through as few different hands as possible, etc.
>
> * * * * * * *
>
> If it should be found that legislation is necessary to adopt or carry out the proposed methods, the requisite legislation should be prepared and submitted to Congress for consideration and action.

More recently, Dr. Wayne C. Grover, Archivist of the United States, in testifying before a hearing of this subcommittee on April 30, 1956, stated:

> The records-management problem in all of its phases is essentially a new problem in the United States Government. When we organized the National Archives back in the early thirties, 1935, we sort of went on the assumption that there was no real records problem; we were living really in the 19th century, but as we moved into the 20th century, and the age of the typewriter and office mechanization and big-scale government, and a government with a different kind of character that affects so many citizens, we found that we were being overwhelmed with records accumulation.
>
> Our first approach to the problem was through disposition. We thought all that we had to deal with was a disposition problem—how we could get rid of records on a systematic basis; appraise them, and keep the most valuable records as a part of the archives of the United States Government. But the more we got into it, the more we found that we had to move from the disposition phase into the maintenance of current files in order to get any control of their disposition; and finally into this creation phase, finding some new techniques, or some new

approach to the problem of how to keep under control the four great bodies of government paper that are created—correspondence, forms, instructions, and reports.

We came to the conclusion in the 1940's that we should use a new approach—by looking at the records that had been created over a period of time, those that exist now, and going forward into the current files to see how we could cut down on the volume of records being created and improve their quality, improve the filing systems that were being used, and get a more systematic disposition at the end of it.

Our big problem was to get the attention of top management and people down the line focused on this problem and to realize that we did have a problem.

You have to train people up and down the line on techniques that will result in the creation of fewer and better records, and more economical and more effective administration.

In the last analysis, there is not going to be any improvement in records management, or paperwork management, unless the head of the agency himself will get behind it and encourage the program. Responsibility for records creation in the last analysis is a command responsibility of the head of the agency.

Hoover Commission Reports on Paperwork Management

The Hoover Commission Report to Congress, of January 1955, on Paperwork Management, Part I, indicates that the Government creates and handles some 25 billion pieces of paper each year, exclusive of the tons of paper used in printing technical manuals, pamphlets, periodicals, and the like. Approximately 18 billion of these pieces were stated to be printed or mimeographed forms. The Hoover Commission task force report classified paperwork into four elements, namely: Correspondence, forms, reports, and directives and instructions.

Part I of the Hoover Commission report covered paperwork management within the Government and included the following recommendations:

Recommendation No. 1.—We recommend that: (*a*) the President establish by Executive order and direct his top officials to give their support to a government-wide paperwork management program; (*b*) the General Services Administration be given responsibility for general supervision over all phases of paperwork management throughout the executive branch of the Government with a view to simplifying and improving the quality of forms, correspondence, reports, and other documents, eliminating nonessential copies of material, reducing the volume and cost of paperwork that is currently required to be produced, issued, filed, and stored, and standardizing the procedures and practices relating to paperwork management; (*c*) such staff functions of paperwork management as now exist in the National Archives and Records Service be consolidated into the organization established in the General Services Administration to implement our recommendation.

Recommendation No. 2.—We recommend that some top official in each agency be assigned the responsibility (*a*) to review all forms with a view to simplification; (*b*) to determine the number of copies of correspondence, printed or mimeographed material with a view to the elimination of nonessential copies; (*c*) to determine the number and character of reports within the agency and to other agencies with a view to the reduction of numbers and the elimination of nonessential reports and that this official cooperate with the General Services Administration in determination of methods and systems for action.

Our task force is now conducting an investigation of the standard-form program of the Bureau of the Budget and we will report on that later in part II of this report.

Recommendation No. 3.—Immediate savings could be made if legislation were enacted authorizing the necessary changes in forms 941 and 941A (employers quarterly Federal tax return), as recommended by the Internal Revenue Service and the Social Security Administration. We recommend that this legislation be enacted.

Part II of the Hoover Commission Report on Paperwork Management covers the paperwork required of the general public by the Government in the nature of forms and questionnaires which they are required to answer. This report recommended—

> That the President direct the Bureau of the Budget, together with its Advisory Council on Federal Reports and in cooperation with the General Services Administration, to give increased emphasis in their reports program to the need to protect the public from unnecessary reporting burdens by continuing the method of cooperation between industry and Government pursued by the task force.

It was the task force's opinion that the Federal Records Act of 1950 (sec. 6 (d) of Public Law 754, 81st Cong.), gives the General Services Administration adequate authority to establish the paperwork-management program, but since in their words, "The Administrator may well feel that he needs a clearer definition of his responsibility," the Commission recommended the issuance of an Executive order. Part II of the report also stated that the recommended Executive order had been drafted and submitted to the Bureau of the Budget for clearance on May 6, 1955. The Federal Records Act of 1950 is included in the appendix to this report.

During the hearings on paperwork management held by the subcommittee on April 30 and May 1, 1956, Chairman Hays developed considerable testimony concerning this proposed Executive order. According to the testimony of Mr. Herbert Angel, Director, Records Management Division, GSA, after being drafted in his office, the proposed Executive order had been sent to the Bureau of the Budget. Mr. Hirst Sutton, Assistant Chief, Office of Management and Organization of the Bureau of the Budget, described the action taken from that point. Upon being asked if a copy was available for inclusion in the record of the hearings, he stated that it fell into the category of privileged Presidential papers which are not customarily available to the legislative branch.

Chairman Hays attempted repeatedly to ascertain what action was taken on the proposed Executive order which was recommended in the conclusion set forth in part I of the Hoover Commission Task Force Report on Paperwork Management. He stated that he would be remiss, if during the consideration of this subject, he simply dismissed, without complete discussion, the potential savings envisioned by the task force of a quarter of a billion dollars annually in the Government paperwork management program which involved the issuance of a needed Executive order. If the Hoover Commission recommendation which set forth the action needed to accomplish this savings had been sidetracked in favor of other means of accomplishing the same results, he was intensely interested in finding out how equal results could be obtained by other means.

Mr. Robert E. Merriam, assistant to the Director, Bureau of the Budget, explained that the President had placed in the Bureau of the Budget the responsibility for coordinating the views of the various agencies in the areas with which the Hoover Commission dealt. Mr. Merriam stated that it was the feeling of the Bureau of the Budget, that the responsibility could and should be placed primarily on the GSA, but basically the responsibility ought to be with the operating departments to carry out their programs, and the work which either GSA or the Bureau of the Budget did should be of an advisory nature in developing new ideas and referring them to the various

departments. He added, that the issuance of the proposed Executive order was therefore deemed unnecessary.

The revised Cabinet record of action No. 30, for the meeting of August 12, 1955, indicated that—

> The President requested department and agency heads to cooperate with the General Services Administration, which will serve in a central assisting and advisory capacity, with respect to many significant aspects of the executive branch's paperwork management program.

The Director of the Bureau of the Budget in a letter dated December 21, 1955, to the Administrator of General Services Administration stated—

> In order to effectuate the President's decision, the General Services Administration should develop programs not now in existence for assisting agencies in simplifying and improving their paperwork processes. It is our belief that, within the framework of the executive branch's general management objectives, these programs should be concerned with the improvement of correspondence and letter-writing practices, mailing systems and procedures, and systems for control of forms, reports, directives, and issuances; and methods and techniques for improving the quality and reducing the quantity of forms and records used in agency operations and for simplifying operating procedures involving extensive paperwork. To the extent that business machines and electronic devices can be utilized to simplify such procedures, assistance would be provided with respect thereto.

Three weeks following the appearance of the Budget Bureau representatives before this subcommittee, a press release on paperwork was issued by the White House (see p. 82, in this report).

Forms Management in the Defense Departments

The Department of Defense and its components—the Departments of the Air Force, the Army, and the Navy—have made noteworthy accomplishments in furtherance of paperwork reduction by effective forms management. A continuing review of forms used by these three departments is made by the Department of Defense. Those forms which are found to be similar are replaced with DOD forms. Since 1947, when the Department of Defense was created, more than 1,200 DOD forms have been adopted to replace separate forms previously used by the three military departments. The enthusiastic support which forms management has received from the responsible officials in the military departments has contributed much to the success of the program. Reports from the Secretaries of each of these departments, contained in replies to inquiries directed to them by the subcommittee chairman, are included in this report. (See pps. 14–20 incl.)

Forms Management in Civilian Agencies

The information reported by the civilian agencies in the executive branch indicates increasing development of forms management appreciation by the responsible administrative officials. The diversified nature of the responsibilities and functions of many civilian agencies necessarily caused a greater percentage of the forms management responsibility to be placed in their bureaus and divisions.

Several of the civilian agencies reported that they had requested and received assistance from the General Services Administration in furtherance of their paperwork management programs, including

forms management. Some agencies have issued handbooks covering all phases of forms management, including the design, analysis, functional classification, printing, and stocking of forms.

Part II of the Hoover Commission's Task Force Report on Paperwork Management listed specific forms on which corrective action had already been taken to minimize the paperwork relating thereto. Other forms were listed as paperwork targets offering much opportunity for savings. The information reported by the heads of departments and agencies in response to the aforementioned inquiries generally indicates the extent to which action has already been taken or is being taken in connection with the paperwork targets listed. In some instances, after careful consideration of the need for the forms, it was determined that some of the forms or reports included on the list of paperwork targets must necessarily be continued to fulfill departmental or agency requirements. Others have been eliminated or modified so as to contribute to a considerable reduction of paperwork. Several instances of paperwork reduction through forms management assistance provided by the Federal Records Service of the General Services Administration were reported.

Replies by Departments and Agencies to Inquiries Made by Subcommittee Chairman

The subcommittee chairman addressed inquiries to the heads of Government departments and agencies requesting information as to what each had done or was doing in furtherance of the objectives of the Hoover Commission regarding paperwork management. He stated that the interest of the subcommittee in the paperwork management program was concerned with the overall forms management programs of the agencies, including review for essentiality, consideration of functional use, design, printing, and distribution.

The replies, in general, expressed agreement with the recommendations contained in parts I and II of the Hoover Commission Report on Paperwork Management. A summary of the information reported to the subcommittee chairman by each department and agency on the dates indicated follows:

Atomic Energy Commission, March 8, 1956

The Hoover Commission, in its paperwork management report, part I, stated with respect to forms management:

> We recommend that some top official in each agency be assigned the responsibility to review all forms with a view to simplification * * *

The Director, Division of Organization and Personnel, has been assigned the staff responsibility for administering the forms management system. Managers of operations have been assigned responsibility for administering the forms management system within their jurisdiction and eliminating, consolidating, or simplifying forms found to be out of date, overlapping, or poorly designed. We believe this meets the requirements of the recommendation.

The Hoover Commission Task Force Report on Paperwork Management, part I, referred to substantial results being obtainable when a systematic and sound forms management program is properly integrated into the other management efforts of an organization. The forms management system in AEC is integrated into the overall

management program. The forms control function is organizationally placed in the Standards and Policy Development Branch, Division of Organization and Personnel, which also has the responsibility for conducting organization and procedural surveys and maintaining the AEC manual which is the official issuance system in AEC. The AEC manual was established in December 1953. Since its inception, a critical review of all existing and proposed policies and procedures has been underway. Since an AEC Manual chapter is normally used as the authority and requirement for the use of an AEC form, our review of issuances has included a review of forms, from the standpoints of essentiality, functional use and design. Our operations offices, who are the prime users of most of our forms, are frequently given an opportunity to comment on proposed forms or revisions to existing forms. This procedure helps assure that burdensome requirements are not imposed on the users of our forms.

Prior to the time of the Hoover Commission report a forms management program was already in operation in AEC, as evidenced by AEC Manual Chapter 0210; Forms Management.

Your letter evidenced concern with paperwork required of the public. Only a small percent of AEC forms are used by the general public. These are approved by the Bureau of the Budget in accordance with the Federal Reports Act of 1942.

In AEC forms management is a continuing, active program Despite its constructive accomplishments, more progress is still possible, and management attention will be devoted to this objective.

Bureau of the Budget, February 10, 1956

The Bureau of the Budget has a general responsibility for assisting the President in the accomplishment of effective and continuing reduction of needless paperwork, both in the conduct of governmental operations and in the demands made upon the public for filling out forms requesting information.

As directed by the President, on the basis of the recommendations of the Hoover Commission, the Bureau is currently working together with the General Services Administration to cut down the volume of paperwork wherever possible throughout the executive branch. The Bureau also has a part in the attainment of effective control over forms used by Federal agencies. One of the subjects of governmentwide scope to which the Bureau gives attention continuously is the development, approval, and control of appropriate standard and optional forms in use in the executive branch.

Simplification of Government reporting requirements and reduction of the reporting burden upon the public are continuing functions of the Bureau under the Federal Reports Act of 1942. This act provides that each agency, with specified exemptions, must obtain the Bureau's approval for any questionnaire or other request for information to be sent to 10 or more respondents. In the course of its review, the Bureau is currently making an intensified effort to simplify report forms and reporting requirements for record retention found in a large number of orders issued by Federal agencies. The renewed attack on the paperwork burden is being made with the cooperation of the Advisory Council on Federal Reports, which represents and is financed by seven

Bureau of the Budget, February 10, 1956—Continued

national business organizations. To this end, the Advisory Council has formed a number of special committees representing major industrial and trade areas.

The Bureau's internal forms management program is obviously not a matter of large scope or complexity in an agency as small as this; nor do the forms created for the Bureau's use affect the public at large. However, the Bureau maintains a system of semiannual review of its generally used internal forms. The number of these forms has been reduced by about one-fourth since January 1, 1953. Moreover, each new form is carefully examined for need as well as utility of design. Use of the Bureau's small-scale duplicating facilities is under close budgetary as well as administrative control.

Central Intelligence Agency, March 14, 1956

The Agency has had a continuous forms management program in effect since 1946 when it was instituted by our predecessor, the Strategic Services Unit. Our program includes all of the elements of forms management recommended by the Hoover Commission; however, certain of their recommendations regarding paperwork imposed on private industry are not applicable.

It is believed that the effectiveness of our forms management program has been steadily increasing and that substantial savings have already resulted from our program. For example, during the period from 1953 to 1955, 88 percent more forms were brought under control, and the average number of copies printed per form was reduced by 52 percent. Actions such as these have materially lowered the cost of printing, procuring, and distributing forms and are permitting our staff to direct more of its attention to the essentiality, design, and functional use of the forms.

Another area of paperwork management activity was established in 1950 in compliance with the Federal Records Act, when programs for the control over the creation, maintenance and use, and disposition of records were put into effect. Today we have a substantially integrated system for paperwork management which consists of active programs in—

Office business machines
Regulations control
Forms management
Correspondence management
Reports management
Vital materials
Microfilming
Records systems, including office filing and mail operations
Filing equipment and supplies standardization and utilization
Records disposition.

While these programs are administered on a decentralized basis by the various offices of the Agency, overall direction and coordination are furnished by the chief of my management staff.

A classified report comparing the operations and accomplishments of our records management program with the findings of the Hoover

Commission indicates that the Agency is making excellent progress toward meeting the standards recommended by the Commission. If you feel it would be of value to your study, we can prepare an unclassified résumé of this report.

United States Civil Service Commission, February 14, 1956

The Commission has had a management control system in operation for several years which covers all of the major areas referred to in the Hoover Commission Report on Paperwork Management. Handbooks have been issued to our employees on the forms control, correspondence management, and records-management programs. We feel that these programs are operating effectively.

Since you indicated an interest in our overall forms management program, let me describe briefly how it operates. Our Bureau of Management Services which is responsible for our overall forms control program has issued a handbook which covers all phases of forms work, including the design, analysis, functional classification, and printing and stocking of forms. Each division and regional office in the Commission has designated a person to spend part-time as forms control employee of the division or region. This person is responsible for the program within the division or region.

Forms used by two or more divisions or regions are cleared at a central point in the Bureau of Management Services which is responsible for the design, clearance, and numbering of forms used Commissionwide. We use the term "CSC forms" to identify these forms. They are stocked centrally and are issued on requisitions to the using divisions or regions. Each operating division and regional office controls the forms used only by the division or region. The division or region forms control employee is responsible for the functional analysis, design, and numbering of these forms. They do not clear through the Bureau of Management Services. These forms are prefixed by the standard abbreviation of the division or region, such as "DX" to identify forms used within the Examining Division of the Bureau of Departmental Operations.

In order to avoid duplication of existing forms by new forms, a functional classification index of CSC forms is issued to each forms-control employee. This index lists CSC forms according to functions and gives a brief description of each form. Before a new division or regional office form is issued, the functional classification index is first checked by the forms-control employee to see if a CSC form exists which would serve the same function as the proposed form.

Decentralizing the forms-control function permits continuous study of forms at the operating level. Centralized printing of forms used on a Commissionwide basis results in savings in printing costs. The use of prescribed forms by all regional offices and divisions eliminates duplication and the resultant multitude of unnecessary forms.

Department of Agriculture, February 16, 1956

With regard to your request as to what this Department is doing in furtherance of the objectives of the Hoover Commission, as each report of the Hoover Commission was received by this Department, a committee, familiar with the subject matter of the report and representing both the agencies and the appropriate staff office, was appointed to study the full document and prepare a departmental report covering each recommendation, such report to include:

(*a*) Evaluation of comment and relation of recommendations to the programs of the Department.

(*b*) Position of the Department, that is, favoring adoption or rejection of the recommendation.

(*c*) Extent to which the recommendation could be implemented by the Department.

(*d*) Manner in which the recommendation would be carried out by the Department.

The committee's findings and recommendations were reviewed by members of the Secretary's staff. When the report received final approval, it was forwarded to the Bureau of the Budget as the official reply of this Department to the respective Hoover Commission Report.

The Hoover Commission Report on Paperwork Management was handled by this Department in accordance with the procedure outlined above. As a means of implementing the recommendations of parts of the report, the Secretary appointed a committee at the departmental level, with Mr. Milan D. Smith, Executive Assistant to the Secretary, as chairman, to make a thorough review of the overall Department paperwork program, and initiate added emphasis where needed. This committee has requested and received specialized assistance from the General Services Administration. A specialist on forms management and another on correspondence management have been provided by the General Services Administration. These specialists will make a real comprehensive survey of the Department and the agencies. They will submit written reports with recommendations for action needed in problem areas. Personnel of both the Department and the agencies are assisting in these surveys when required.

The survey on forms management has been practically completed, and a draft of the recommendations is now being considered by our committee.

The survey on correspondence management is just getting underway; therefore, it will be some time before recommendations can be made.

Another example of the work going forward in the paperwork program will be noted from Forest Service Memorandum O. No. 55–134, dated November 10, 1955. This Department agency, desiring to make a very comprehensive study of a management area, issued this memorandum and upward of 2,000 suggestions have been received. A committee of Forest Service employees is now evaluating the suggestions.

In this Department we are keenly aware of the importance of effective paperwork management. We recognize that good paperwork management not only improves program efficiency but results in more economical operations, and we expect to give it appropriate attention in our overall programs.

Department of Commerce, February 17, 1956

PUBLIC USE FORMS

The solicitation of data from the public by the Department has been under careful surveillance for many years. In agencies such as the Bureau of the Census, the Civil Aeronautics Administration, and the Business and Defense Services Administration public-use forms are not incidental to their work but rather constitute a most important working tool. For that reason, the bureaus and the Department have devoted extensive efforts to public-use forms management with the view to relieving or lightening the burden of mandatory reporting to the Government. There follows a statement of the procedures and regulations adopted by the Department and the bureaus concerned to carry out this phase of our management program.

The responsibility for departmental review and coordination of report forms requiring clearance under the Federal Reports Act of 1942 has been centralized in the Management Division, Office of Budget and Management.

The clearance system employed in departmental review of proposed reporting requirements is detailed in departmental administrative order No. 201–1 (amended). In brief, it provides for the following:

1. Within each primary organization unit of the Department, a clearance officer has been designated by the head of the unit to be responsible for the clearance of report forms among the primary organization units of the Department and for handling clearance with the Office of Budget and Management and the Bureau of the Budget.

2. After necessary clearances have been made, Standard Form 83, Request for Clearance, is prepared and forwarded in duplicate to the Office of Budget and Management for general policy and additional clearances are obtained as may be required. It is then forwarded to the Bureau of the Budget for final clearance.

3. As part of the clearance procedure, determination is made (*a*) that the information sought is reasonably needed in the proper performance of the functions of the unit concerned; (*b*) that the information sought would not unnecessarily duplicate that already being received whether identical or adequately similar for satisfactory use; and (*c*) that the information sought does not exceed the limits of reasonable need or practical utility either with respect to number of respondents, frequency of collection, number and difficulty of the items, and that all of the items of information to be furnished are essential to the central purpose of the report.

Technical assistance in design, printing, and distribution is made available to each unit through the departmental Office of Publications. This assistance is provided upon request by the unit concerned or where need therefor is noted during the clearance process.

4. In most cases, a time limit is assigned to the use of the report form, after which it may not be used without resubmittal and further clearance. Moreover, clearance of any report form may be withdrawn in which event the use of the report form must be discontinued. This procedure, established through Bureau of the Budget Circular No. A–40, provides the mechanics for periodic reexamination of reporting requirements.

Department of Commerce, February 17, 1956—Continued

However, where attention of the Department is drawn to some specific reporting requirement as being too time-consuming, annoying, or otherwise objectionable, a special review is undertaken promptly.

In addition to the substantive clearances indicated above, the Department utilizes the services of the Forms Design and Standardization Branch of the Office of Publications Printing Division. This organization acts as a reviewing agent on all forms to assure that all necessary clearances required by law or Government regulations have been obtained. This secondary review prevents anything going to press without clearance through inadvertence or through lack of knowledge on the part of the smaller offices of the Department.

The design of public-use forms is the complete responsibility of the Forms Design and Standardization Branch after consultation with operating personnel of the bureaus and offices regarding content of a form. The manner in which a form is to be mailed, completed by respondent, processed by the bureau, and filed after processing is a determining factor in the final design, and has an important bearing on the utilization of space and placement of content. Preparation of instructions accompanying a form is a very important phase also, as the design of the form and any reference to specific items in the instructions must be keyed together.

The printing of forms is planned by the Forms Design and Planning Branch with a view toward getting the most suitable form in the most economical manner within the time limit allowed by the program. The process to be used, the type and color of paper, and the color of ink are considered in the light of economy and the need for a form that is best suited for its end-use.

The forms are distributed mostly by the bureaus, but in some cases the mailing and distribution is done by the Printing Division. In all cases, however, the quantity ordered and the distribution to be made is reviewed and, on a basis of experience, the Office of Publications determines whether the quantity ordered is justified.

At the bureau level the procedures generally are more detailed. Responsibility for review of public-use forms and their ultimate submission to the Bureau of the Budget through the Management Division of the Department is vested in a forms clearance officer, or equivalent, as determined in individual bureaus.

In the clearance procedure, the forms clearance officer attempts to develop an integrated program for an area. Such a program, for example, might consist of a series of surveys on materials consumption covering an entire subject-matter area. The purpose of developing an integrated program is to obtain clearance in principle for such a program with the Bureau of the Budget in order that clearance of particular segments of the program can be obtained from the bureau with a minimum of delay. It should be clear that an integrated program may consist of many areas, all of which need not be surveyed. Some areas of the integrated program are fully satisfied by data available in the department or elsewhere in Government. Some areas of the integrated program may not be sufficiently important to warrant a survey even though data are not necessarily available. These areas are not covered.

The Forms Clearance Officer determines the essentiality and functional use of each public-use form—

1. From a broad knowledge of Bureau programs and functions.
2. By discussing survey proposals with other staff people who may be responsible for a particular area.
3. By checking with other agencies or suggesting that the sponsor check to assure that data required are not available elsewhere.
4. By preliminary conferences with the Bureau of the Budget to ascertain the initial reactions of the Bureau.

In review of survey proposals, the forms clearance officer is careful to check with other agencies of Government to determine if surveys can be carried out on a cooperative basis. Sometimes, both the Bureau and another agency find it desirable to undertake a cooperative survey which serves the purpose of the two agencies and thus avoids the possibility of two separate surveys being forwarded to industry.

With respect to design, printing, and distribution—

1. The Department of Commerce is fortunate in that it has an extremely capable Forms Design and Standardization Branch located in the Office of Publications. Recognizing that the design of a schedule is extremely important from the point of view of ease of handling on the part of the respondent and tabulation on the part of those who must process the form when received, the bureaus spend a minimum of time on the design of a survey form and depend almost exclusively upon the Forms Design and Standardization Branch for advice as to how best to design the form.
2. Printing is handled by or through the Printing Division of the Department of Commerce. However, here again, the bureaus depend upon the Forms Design and Standardization Branch to assure that the request for printing includes all pertinent detail and that the Printing Division meets a prearranged printing schedule.
3. With respect to distribution, the Forms Design and Standardization Branch of the Office of Publications automatically furnishes our field offices with file copies of each survey for use. Respondents receive their forms either from the sponsor, if the survey is being undertaken by that agency, or from the agency which is acting as the collecting, compiling, processing, and tabulating group for the Bureau. The Bureau of the Census does a substantial part of the data collection work of some of our bureaus and, on occasion, arrangements are made with other departments for handling surveys which relate to their area of responsibility.

INTERNAL USE FORMS

Departmental responsibility over internal reporting forms is vested in the departmental records officer. There has been established under his direction a group of Bureau representatives whose function is the study and analysis of internal use forms to prevent overlapping or duplicate forms. In addition, the Department has designed many administrative forms which are used extensively in all bureaus, thus eliminating multiple printings by the individual bureaus.

The forms control procedures adopted in the various Commerce organizations are generally similar and all have as their goal the elimination of burdensome reporting and simplification where reporting or recordkeeping is required.

Various techniques are employed in the bureaus of the Department to insure periodic reviews of both public use and internal use forms.

Department of Commerce, February 17, 1956—Continued

In the case of the former, the Bureau of the Budget establishes an expiration date prior to which a justification for continuance must be presented to warrant extended authorization for the use of the form. The justification for continuance includes the same considerations applied upon its initial use. A substantial portion of public use forms, however, are "one shot" surveys. In these cases no recurring analysis is necessary.

The review and analysis of existing forms frequently occur as a result of procedural surveys in the bureaus at which time the sponsor is usually required to make a justification on the spot for continuing reporting requirements.

A universal control over the continuing use of reporting forms is the constant review of printing requisitions. Each time a reporting form is ordered reprinted the review process follows the same analytical pattern described for new or revised forms.

Department of the Air Force, March 6, 1956

The Air Force forms management program is a continuous systematic effort to insure that only essential forms are created and utilized. This program, which is conducted on an Air Force wide basis, is under the staff supervision of the Air Adjutant General, specifically, the Forms Management Branch of the Publishing Division. This office is responsible for the formulation of forms management policy, the planning aspects of the program, the issuance of the directives which guide the program and the evaluation of the effectiveness of the program. The purpose, policies, responsibilities, and techniques of Air Force forms management are explained in Air Force Manual 9–1.

The major air commands are responsible for implementing the program throughout their organizations. To carry out this responsibility they perform the following functions:

1. Review all requests for new and revised forms for essentiality prior to procurement.
2. Develop and publish procedures for efficient utilization of each form.
3. Design forms to fit their functional use.
4. Review existing forms for the purpose of consolidating similar forms and eliminating those which are nonessential. (This is accomplished through use of the functional files.)

The Air Force forms management program in the field is given constant emphasis through the employment of several techniques. For instance, the Forms Management Epitome, a quarterly publication, is distributed to all forms management offices throughout the Air Force. It keeps the personnel who are engaged in forms work informed as to the overall status of the program, examples of notable progress made toward better forms management, and any other data of broad general interest to the program.

In addition, a forms management poster is issued quarterly throughout the Air Force. It is posted prominently to remind Air Force personnel that unessential, ill-designed, or obsolete forms are costly.

Another invaluable asset to forms management is the periodic publication of an index on forms prescribed for general use throughout

the Air Force. This index, issued to all Air Force activities, lists each form by number, title, unit of issue, and the number of the directive which prescribes its use.

One method of evaluating the overall effectiveness of the forms management program is through the analysis of the data submitted by each major air command on AF Form 272A. The data thus provided, coupled with periodic inspections, seminars, and the normal exchange of correspondence, permit the Air Adjutant General to correct any program deficiencies.

The Air Force forms management program has been steadily improved since 1952. Publication of the Air Force Manual 9–1, the training of personnel in the standardization techniques of forms management, and the installation of the program at the various organizational levels, were all accomplished in the period from 1952 through 1954. All during this period, even as at present, the forms program has had the full support of top Air Force management.

Department of the Army, February 4, 1956

Control of forms used by the Army is maintained by directives, reports, and review of new and revised publications which require reports and use of forms. Staff supervision of forms management for the Department is centralized in the Adjutant General's Office.

The Army forms management program prescribes centralized review and approval of forms at each command echelon. Eflective forms management has the following objectives:

Elimination of unnecessary forms.

Consolidation of duplicate forms.

Application of simplified and standardized design and format principles.

Proper relationship of forms to procedures.

Economical production and distribution of approved forms.

Forms management is practiced at all levels of command. Here is how the forms management program works:

(*a*) The forms management officer at the various command levels has control of the production and use of every form within that command. No form, old or new, can be reproduced in any manner without his approval.

(*b*) At each level of command, the forms management officer compares all forms collected within the headquarters and subordinate units. Duplicate forms are consolidated into one command form for common use.

(*c*) At each echelon, copies of prescribed forms are sent to the forms management officer at the next higher level of command. The receiving forms management officer, in turn, groups all of his headquarters forms and subordinate command forms by subject matter. The forms received from a lower element may duplicate other forms already on file or recently received from other lower commands. In such cases, these forms are consolidated and a higher command form is prescribed. Eventually, the forms prescribed by major commands and departmental agencies are received by the Adjutant General at the Department of the Army level.

(*d*) At the Department of the Army level, major command forms and departmental agency forms that duplicate each other are consolidated, and the DA form is prescribed.

Department of the Army, February 4, 1956—Continued

(*e*) Use of forms prescribed by a higher level command is mandatory on lower level commands. All duplicate lower command forms involved in a consolidation are thus obsoleted and discontinued. Each form consolidated means a printing operation eliminated.

Since September 1954, over 47,400 forms have been eliminated by major commanders and their subordinates; at the Department of the Army level over 4,000 forms have been eliminated and replaced by 61 new forms. This is particularly significant in view of the fact that for every dollar spent in producing a form, more than $20 are spent in using the form. The bulk of the cost lies in filling in data, typing, transmitting, evaluating, and filing.

Of course, as lower level forms are consolidated, the total number of armywide forms increases. For each such increase, however, many times that number of lower level forms and consequent printing operations are eliminated and economies result.

The Adjutant General, in addition to the foregoing program of review of existing forms, exercises control by screening all actions which might result in new forms. Prior to printing new and revised publications (such as regulations, pamphlets, circulars, etc.), they are reviewed to:

Determine the need for forms to implement procedures. Vague requirements for "reports" are clarified on the spot. "Tailormade" forms are developed for each specific purpose. This avoids lengthy and unwieldly narrative reports and curtails the generation of duplicate lower echelon forms.

Determine the essentiality of existing armywide forms prescribed in revised publications. Those which do not effectively implement the procedures for which they were originally developed are redesigned. Whenever possible, the design of DA forms is such that they can be used as "feeder reports," thus further eliminating the need for lower level forms to implement directives.

In these ways, the Adjutant General is in a position to control the production and use of forms from inception to obsolescence.

Department of the Navy, February 14, 1956

In implementing programs for the control of paperwork, including the procurement, production, and distribution of printed matter, the following assignments of responsibility have been made pursuant to title 44 of the United States Code, sections 391–401, and the regulations of the Joint Committee on Printing:

Responsibility for general supervision and coordination of all matters relating to the creation, disposition, and management of records and correspondence as well as printing and publications, including regulations and controls thereof, has been delegated to the Administrative Assistant to the Secretary of the Navy. Under his immediate supervision and serving him in a staff capacity, are the following Offices:

(*a*) *Navy Management Office.*—This Office furnishes staff assistance to the various bureaus and offices and the Marine Corps and coordinates and assures the orderly development of paperwork management programs. It also develops program manuals, guides, standards, and evaluates program effectiveness and renders program guidance and technical assistance to achieve the objective of the program.

(*b*) *Administrative Office, Navy Department.*—This Office is responsible for the interpretation and administration of all rules, regulations, policies, and standards for the control of publications and printing. It also has authority over the final planning of all publications and printing originating in the bureaus of the Navy Department and bureau field activities in accordance with Rules, Regulations, Policies, and Standards for the Control of Navy Publications and Printing, NAVEXOS P–35. As an integral part of this program it also maintains continuing surveillance over Navy periodicals, including ship and station newspapers, to insure that their publication conforms to all requirements of title 44 of the United States Code, the Government printing and binding regulations, the Bureau of the Budget, and the needs of the Naval Establishment. An instruction was issued to inform all commanding officers in the Naval Establishment of their responsibility for insuring economy in the administration of this periodicals program.

To assist in the management of publications and printing there has also been established a Navy Publications and Printing Control Committee with the Administrative Assistant to the Secretary as Chairman. This committee is responsible for the review and control of all Navy publications and all printed and processed matter, including review of their necessity to the naval mission to insure effective planning and the elimination of nonessential printing and duplication of effort.

The central organization outlined above coordinates the Navy paperwork management program and the publications and printing program through management offices and publications control organizations established in each bureau and office of the Navy Department, and with the assistance of records management and publications and printing offices in the naval districts. It is at these levels that all proposed publications are reviewed for essentiality and economy, that unnecessary or duplicating reports are eliminated and necessary reports are improved and simplified, that creation of forms is controlled and forms are consolidated, simplified, and standardized, and that paperwork is made to serve the purpose for which intended in the most efficient and economical manner.

The objectives, organization, and benefits of the forms-management program, in which you expressed particular interest, are covered in detail in the attached statement entitled, "Forms Management Program—Department of the Navy." Management of forms is an important element of our paperwork-management program; and since its inception in 1942 this forms program has resulted in outstanding economies and improved practices throughout the Department of the Navy.

A recently issued instruction states the objectives, assigns responsibility for administration, and defines the interrelated management techniques of the paperwork-management program. The provisions of the instruction are not new; they were previously covered in several documents which have been brought together and restated in this one release. The new instruction changes the title of the program from "records management" to "paperwork management," the term used in the recent Hoover Commission report.

In addition to the continuing features of the paperwork-management program, we are conducting three special campaigns in the

Department of the Navy, February 14, 1956—Continued

paperwork area during 1956. March has been designated as Records Disposal Month. During that time a concerted effort will be made throughout the Department of the Navy to remove all noncurrent record material from office space. From May through August a comprehensive review will be made of all reports at all organizations. In an attempt to simplify our correspondence, we have set aside October as Better Letter Month.

It is considered that the Navy's paperwork-management and publications and printing programs have proved their effectiveness in achieving maximum results with a minimum expenditure of manpower and money. Many of the concrete accomplishments of these programs were graphically illustrated in an exhibit developed in 1954. A brochure was prepared in conjunction with this exhibit; and while the statistics are now more than a year old, it still presents an overall picture of the Navy programs in which you are interested. The savings and improved operations accomplished through the programs are a significant contribution to our efforts to get more defense for the Navy dollar.

FORMS-MANAGEMENT PROGRAM

1. The forms-management program was established in the Department of the Navy in 1942. The initial objective in establishing the program was to effect immediate reductions in printing costs. Considerable reduction in these costs was accomplished through the design of forms for more economical printing and through the consolidation of similar forms. As the program progressed it was realized, however, that the greatest costs of forms and therefore the greatest savings and improvements to be realized from their management were in the procedural or functional use of the forms. Therefore, increased emphasis has been placed on the essentiality and functional efficiency of forms.

2. With its broad responsibilities, the forms-management program places increased emphasis on the efficiency of procedures of which forms are an integral part. It stresses detailed analysis of the forms and design for more efficient use, as well as printing efficiency. The program is concentrated not only on the elimination of unnecessary forms, but also on the adoption of new forms which are needed to get a job done better and faster. This positive approach is essential in a forms-management program if it is to play its full part in the management of paperwork.

3. In addition to reviewing proposed new and revised forms, the program provides for conducting major forms studies by functional areas and other major projects involving groups of related forms. In this way existing forms are analyzed for currency and revised as necessary to better serve current-day needs. This approach is necessary if the program is to provide management with modern, up-to-date forms at all times.

4. Along with review of all Navy forms for essentiality, efficiency and design, careful consideration is also given to efficiency and economy in printing and distribution. The most economical printing method is selected for each form and appropriate control is exercised over the quantity reproduced. This control over quantity greatly

minimizes the possibility of overstocking and the resultant waste from obsolescence. The forms-management program is coordinated with the publications and printing program in order that necessary forms will be where they are needed, when they are needed, and in the quantity needed.

5. The current objectives of the forms-management program are as follows:

(*a*) Develop the most effective new forms and related procedures.

(*b*) Improve necessary existing forms and related procedures in light of current needs.

(*c*) Assure effective work methods and economies in man-hours and material costs by means of analysis and simplification of the procedures that underlie and produce the need for forms.

(*d*) Reduce paperwork and clerical effort by an efficient design of forms that will make them easier to fill in, easier to understand when filled in, and that will effectively facilitate the procedure with which they are used.

(*e*) Insure that instructions for the forms and related procedures are adequate.

(*f*) Eliminate unnecessary and duplicate forms and consolidate those serving like or similar functions.

(*g*) Achieve economies in the reproduction, supply, storage, and distribution of forms.

6. The Navy Management Office establishes the basic policy, develops program manuals and guides, conducts training, and provides staff guidance and technical assistance to all elements of the Department of the Navy. The program is established in all bureaus of the Department, the major field activities, the operating forces, and major overseas commands. In addition, the district records-management offices and the district publications and printing offices, located on the staff of each district commandant, provide technical guidance and assistance in the area of forms and procedures analysis and forms design to the activities in each naval district. The cooperative effort of these two offices had been a major contributing factor in assuring that the objectives of the program are carried out at the field level. These offices also cooperate in consolidating similar forms developed by the naval activities into standardized naval district general forms for use throughout the district. In addition to providing standardized and more efficient forms for common operations, savings in printing costs are also realized.

7. In order for a forms-management program to be an effective tool for management, trained forms-management personnel are essential. To meet this need, an intensified training course is conducted covering the operation of the program, principles and techniques of forms and procedures analysis, and forms design. During the past year a total of 339 military and civilian personnel have received this training. Experience has shown that this training has contributed significantly to the benefits that the Department of the Navy is receiving from the program. In addition to the Navy personnel trained, 30 personnel from 12 other Government agencies have attended this training course in recent years.

8. The following information will give an indication of the achievements of the forms-management program during the past 3 years:

Department of the Navy, February 14, 1956—Continued

63,200 forms eliminated, 39,900 forms improved, 9,650 forms consolidated into 2,400 forms. Although it is not practicable to attempt to determine the total savings realized from all forms-management actions, the savings that have been computed for a relatively small percentage of the total effort during the past 3 years amount to over $3,500,000. These savings, which are diverted to more essential needs, prove that the forms-management program is making a very worthwhile contribution to our efforts of getting more defense for the Navy dollar.

Department of the Interior, February 9, 1956

Improvements in paperwork operations has been made a part of the official, organized general program of management improvement, which has been underway in the Department of the Interior since 1950. Each year projects designed to improve paperwork are scheduled, carried out, and reported on to the Office of the Secretary. The following statement includes some of the more important projects worked on during 1955 and scheduled for 1956. In addition, our bureaus and offices are engaged in many more projects of lesser importance which do not require participation by and reporting to the Office of the Secretary. It will be noted that the list includes a project designed to reduce reports from the mineral industries to the Bureau of Mines for statistical purposes. The Fish and Wildlife Service also canvassed its reporting requirements from the fisheries industries, but found no significant possibilities for reducing these requirements.

FUNCTIONS AND PROGRAMS OF OFFICE OF THE SECRETARY IN PAPERWORK IMPROVEMENT

Two divisions reporting to the Administrative Assistant Secretary are responsible in a staff capacity for improving paperwork throughout the Department. The Division of Property Management, among other functions, develops and carries out programs of records management. The Division of Management Research conducts a continuing program of management improvement, an important part of which includes improvement of paperwork management. Further, the latter Division also is responsible for the Department's incentive awards program. Scores of awards are made each year for suggestions which, after adoption, result in improvements in paperwork.

Several important paperwork projects of interest to the subcommittee were initiated by the Office of the Secretary last year and were continued during the current year, as follows:

(*a*) *Manual system.*—The Office of the Secretary conducted an extensive survey of instructional material throughout the Department, and found a heterogeneous collection of uncoordinated manuals and uncodified numbered orders with large gaps and, in some cases, containing inconsistent, obsolete instructions. Resulting from this survey, an Interior departmental manual was established; bureaus without a codified manual system were asked to establish such a system; and all bureau manuals are being coordinated with the departmental manual. Substantial savings are expected from this project.

(*b*) *Forms control.*—In line with the Hoover Report on Paper work Management, all bureaus and offices which did not have a current,

adequate forms control system were requested to install such a system. The latter portion of this report tells what is being done in this direction by a number of bureaus.

(c) *Industry record and report requirements.*—The Administrative Assistant Secretary requested all bureaus which obtain statistical reports from industry, particularly the Bureau of Mines and the Fish and Wildlife Service, to examine their requirements from the standpoint of possibilities for reducing the records and reporting burden on industry. Results to date from this project are described in a later portion of this report.

PAPERWORK IMPROVEMENT EFFORTS IN 1955

Park Service.—A program for the reduction of number and standardization of forms was initiated in 1955, but will not be completed until some time in 1956.

Mines—Industry statistics.—BDSA requirements for information on ferroalloying elements have been integrated. Census separate reports on titanium were combined in a single report. Accident report forms were combined with commodity reports. An annual report on consumers of small quantities of metals is being substituted for more frequent reports. Two lead forms combined. Eight ferroalloy reports were combined in one. All accident report forms and questionnaires were reviewed and numerous improvements made.

Mines—Other.—Mine safety inspection reports have been curtailed in those cases where no serious hazards were observed during the inspection of certain mines. A rate of annual records disposal of 28.2 percent for the entire Bureau was achieved in 1955, an unusually high ratio.

Bonneville Power Administration.—A correspondence manual was completed, based on the D–1 manual. A files consolidation program was completed, eliminating numerous separate files.

Bureau of Indian Affairs.—Survey of all current reports completed. Reports control unit established to develop an effective, coordinated reporting system, which will be put into effect in 1956. Punchcard system installed for motor vehicles, reducing clerical work. Same for property records in Portland area.

Fish and Wildlife Service.—A study was made of records and reports required of fisheries industry for statistical purposes. Results disclosed no improvements possible. However, minimum retention periods for pertinent records were issued.

PAPERWORK IMPROVEMENT PROGRAM FOR 1956

Bureau of Land Management.—The Bureau's forms control program will be strengthened by extending control over forms originating and used in field offices. Added emphasis will be given to forms standardization and design.

Bureau of Mines.—A comprehensive bureauwide forms management program will be established which will include a central control point, procedures for initiating forms, comprehensive review and analysis, maintenance of control files, and acceptable design standards.

Bureau of Indian Affairs.—The possibility of using punchcard property records will be investigated. If feasible, internal records and reporting would be simplified.

Department of the Interior, February 9, 1956—Continued

Fish and Wildlife Service.—The complete inventory of all Service internal reporting requirements, already available, will be analyzed from the standpoint of necessity and usefulness to management.

National Park Service.—A comprehensive review of all internal forms will be made with the objective of a reduction in the number of and standardization of such forms.

Bonneville Power Administration.—Recommendations resulting from a previous General Services Administration paperwork management survey will be implemented. They include reports control, forms control, mail and files management, and correspondence practices.

Department of Health, Education, and Welfare, February 17, 1956

Regarding the Hoover Commission reports on Paperwork Management Parts I and II, we generally endorse the basic intent of the recommendations applicable to this Department, but we have suggested some modifications and are not in agreement on all of the details of the recommendations. This Department strongly favors increased emphasis on efforts to reduce the reporting burden on the public and to improve cooperative working relationships with the reporting public and with the users of the data reported. We have consolidated in our Office of Program Analysis, under an Assistant Secretary, responsibility for the review, clearance, and approval of report forms and plans for the entire Department.

Regarding internal paperwork management, we have been carrying out for a number of years the activities envisioned in the Hoover Commission recommendations. We generally operate on a decentralized basis through the several operating agencies of the Department. Within the Office of the Secretary, the Division of Management Standards is charged with a continuing responsibility for generally providing stimulus to the program, including the development of standards and departmentwide coordination, rather than exercising rigid controls through extensive centralized operations.

One of the three recommendations of the Hoover Commission concerned consolidation of social security wage reporting with annual earnings reports to Internal Revenue Service. In cooperation with the Treasury Department, we have reached agreement on a practical method for accomplishing this objective, and legislation is required before this plan can be effected. H. R. 7770 introduced on July 30, 1955, is now pending with the Congress. The proposed plan would be advantageous to employers, employees, and the Government. Employers would benefit by being able to file a single report for each employee for both income-tax withholding and social-security wage record purposes, eliminating the quarterly reports for OASI purposes. Employees covered by both the withholding-tax system and social security would benefit by being able to check the accuracy of the employer's report of earnings for social-security purposes each year. The Government would benefit (1) by a reduction in processing operations for old-age and survivors insurance purposes, (2) through obtaining a greater measure of completeness and accuracy in the recording of wage records necessary to the administration of the old-age and survivors insurance program, and (3) from a more positive system of review of the accuracy and completeness of employer social

security tax returns and employee income-tax returns. These advantages will be realized without increased administrative costs and will result in increased tax receipts by identifying in a more systematic manner omissions or errors in tax returns.

As a result of the records-disposition program in this Department, 1,534,000 cubic feet of records have been destroyed from 1946 through November 30, 1955, inclusive. Also, 72,000 cubic feet of records have been transferred to Federal records centers or to the National Archives. The disposition of these records released for reuse 162,590 filing cabinents valued at $3,611,800; and $449,400 was turned into the Treasury Department as proceeds from the sale of records as waste-paper. Current operations under the records disposition schedules now established throughout the Department will continue to produce annual savings.

Since 1947, two major operating agencies of the Department, the Public Health Service and the Bureau of Old-Age and Survivors Insurance (Social Security Administration), have had effective forms management programs in operation and have special staffs for this purpose. Our other operating agencies and the Office of the Secretary are giving renewed attention to the possibilities for more effective forms management. The General Services Administration is making available this month one of their consultants to assist in the development of a departmentwide forms management program under a special project established by the Division of Management Standards. We expect to develop a forms management manual setting forth the standards and operating procedures of the program as a part of our departmentwide staff manual system which covers in various manuals all phases of administrative management activities.

The proposal of the Post Office Department to simplify the reimbursement procedure in payment for the privilege of using penalty indicia was accepted by all operating agencies of the Department. This new plan provides for a quarterly billing to the Department by the Post Office Department on the basis of 1955 reportings adjusted to reflect any known program changes. The simplified reimbursement procedure eliminates the quarterly report of penalty indicia mailings which were estimated to cost the Department $69,605.

Department of Justice, February 17, 1956

A forms control program was initiated in February 1955 covering legal activities of the Department. Prior to that time the Federal Bureau of Investigation, Immigration and Naturalization Service, Bureau of Prisons and Federal Prison Industries, Inc., had similar programs within their respective bureaus and these continue within the general objectives of the overall departmental program. These objectives are as follows:

(*a*) To determine necessity for each form and possible consolidation or coordination with existing or proposed forms.

(*b*) To assure economical production and distribution of forms.

(*c*) To eliminate all unneeded forms.

(*d*) To assure application of modern forms design and labor-saving techniques in constructing forms.

Department of Justice, February 17, 1956—Continued

(*e*) To assure through the periodic review of existing forms and the study of proposals for new or revised forms that problems of organization and procedures are solved.

The number of forms and reports imposing paperwork on the general public is relatively small in this Department. We currently have 136 such forms, the majority of which are in use by the Immigration and Naturalization Service. The activities of the Service were reviewed by the Commission Task Force and the Department will continue to give special attention to such forms in an effort to comply with the recommendations made.

The total number of personnel occupied in forms management throughout the entire Department is 11, some of whom spend only part time on forms management. Because of decentralization, the accomplishments of each branch of the Department concerned with forms management are being set forth separately.

LEGAL ACTIVITIES AND GENERAL ADMINISTRATION

With a limited staff at the departmental level consisting of two employees, who are also occupied with other duties not related to forms management, the past year has been spent primarily in assembling forms and information, establishing the proper control and filing systems, dissemination of information resulting from the new program and preliminary analysis of the forms in existence. Certain targets have been set for review and analyses with particular emphasis at present being placed on forms used in United States Attorneys' offices where it is anticipated that great savings can be accomplished.

During the past 12 months approximately 1,300 forms have been reviewed either as a result of direct request for reproduction or through initiating forms review projects in particular areas. Of this number, 96 were eliminated entirely. In addition, 68 other forms were consolidated into 11 forms. This represents a decrease of about 12 percent on the number reviewed and it is believed that accomplishments in the future will exceed this figure. Review in each case is directed to such elements as purpose, use, format, printing and distribution, and analysis of related procedures.

Bureau of prisons.—The Bureau's forms control program has been in effect for some time. During the past year particular attention has been given to forms at the institutional level with provision for periodic review of such forms leading toward improved programs and standardization on a servicewide basis.

The administrative office in each institution is charged with the responsibility of forms control under direction and coordination of the central office of the Bureau.

There are in existence 368 Bureau approved forms of which 11 have been recently revised for purposes of improvement and simplification. A simplified system of payroll preparation and payment resulted in improved procedures and forms utilization.

In addition to a continuing program of education of institution personnel in the field of forms management, studies are now in progress by the Bureau regarding the substitution of standard forms for Bureau forms on such items as purchase orders, time records, contract forms and Bureau specifications.

Federal prison industries.—The forms control program has been in existence for a number of years dating back to establishment of the corporation.

The Washington office reviews and coordinates the forms control program for 26 field offices. There are about 100 standard forms in use throughout the service and several hundred others designed locally as an incident to controls in 50 factories and shops operated by the corporation. Control over the latter is exercised by central office review as well as inspection by the traveling auditors. Though the program is of long standing and subject to constant supervision, special attention will be given to further the objectives of the Hoover Commission.

Federal Bureau of Investigation.—The Bureau's forms management program as presently constituted was started in 1945. The program is controlled in the Inspection and Planning Section of the Training and Inspection Division. The forms management desk exercises centralized control in that no forms may be used, initiated, revised or deleted anywhere in the FBI without the concurrence of the forms management desk; 1,647 forms are now in use throughout the Bureau.

During the past 12 months, 103 new forms were approved, 163 forms were eliminated by means other than consolidation, 81 forms were consolidated and 498 forms were revised and/or redesigned for more efficient use.

Immigration and Naturalization Service.—The forms control program, which has been in existence a number of years, was intensified in 1950. Emphasis is placed on analysis of procedures governing the use of forms.

Since reorganization of the Service a year ago 700 to 800 local forms have been eliminated through standardization at the regional level.

Several of the Hoover Commission's recommendations are currently under study to reduce paperwork.

Department of Labor, March 9, 1956

Recommendation No. 2 in part I of the Hoover Commission report proposes that one top official in each agency be given responsibility to review all forms with a view to simplicity and to determine the number of copies of correspondence, reports, and material to be reproduced. The Commission's other recommendations are not directed specifically at this Department.

It is believed that the general development, direction, and coordination of an effective paperwork management program should stem from the agency level, but that the review of forms for simplification and standardization and for control over the number of copies should rest primiarily at the bureau level. Decisions on specific paperwork management actions are closely related to the diverse and highly technical work of the various component parts of the Department, and much responsibility in this field is therefore placed at operational levels.

The subject of forms management receives the constant attention of the Department of Labor. At the departmental level, the Office of the Administrative Assistant Secretary makes a continuing review of all internal forms commonly used on a departmentwide basis. That Office seeks constantly to consolidate, make uniform, and reduce

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the number of these forms. Bureaus and offices of the Department have similar programs respecting their own forms which are not used on a departmentwide basis.

In the case of reporting forms applicable to the public, the Department exerts all precautions to limit requests for necessary information to a minimum and to avoid the imposition of reporting burdens. The Department has adopted procedures governing review at the departmental level of statistical forms and reporting plans which require approval of the Bureau of the Budget under Federal Reports Act of 1942. This statute applies to all forms and plans designed to collect information upon identical items from 10 or more persons. Such reporting forms or plans are forwarded by the originating bureau, together with a request for clearance, to the Administrative Assistant Secretary of Labor, who reviews the plan or form from an organizational and operating standpoint. In connection with this review, the Office of Statistical Standards of the Bureau of Labor Statistics of the Department conducts a technical review for statistical adequacy.

Before receiving the above-described review, these forms and plans receive intensive screening in the originating bureau or office. In addition, all possible techniques are used to reduce the reporting burdens of the public in connection with approved forms.

The Department of Labor has long been cognizant of the need for simplifying and reducing paperwork, and continual progress is being made in this field. A program has been established for elimination of nonessential copies. Where possible, form letters have been adopted. For some time offset printing from machine tabulation runs has been used by the Bureau of Labor Statistics. This eliminates a great deal of typing, editing, checking, proofreading, and other paperwork. Regarding a program for the protection of vital records, the Department follows all criteria which have been prescribed to date. Mail control has been simplified and progress is being made toward the Commission's goal of saving in space and equipment by storing records in the National Archives and in recognized storing areas. Disposal schedules covering a great deal of material have been established.

The task force of the Hoover Commission report, in part II of its report to the Commission, makes several statements affecting the Department of Labor. Comments on these statements are set forth below:

COMMENTS OF THE DEPARTMENT OF LABOR RESPECTING THE REPORT OF THE TASK FORCE OF THE HOOVER COMMISSION ENTITLED "PAPERWORK MANAGEMENT, PART II"

1. The task force, on page 22 of its report under the heading "How Long?" states that—

> 85 out of 100 regulations of the Department of Labor which specify what records must be kept by companies or individuals fail to mention how long they should be kept. Theoretically, this means permanently.

Apparently a misunderstanding exists as to the recordkeeping requirements of the Department of Labor. The 100 recordkeeping requirements referred to in the report are apparently those enumerated in the April 8, 1955, issue of the Federal Register (20 F. R. 2240). Ninety-six of them are based upon the Fair Labor Standards Act or the Walsh-Healey Public Contracts Act.

The basic recordkeeping requirements under the Fair Labor Standards Act are contained in Department of Labor Regulations, part 516 (29 C. F. R. secs. 516.1, et seq.). In general, they require the recording only of such data as an employer would necessarily record pursuant to normal business practices. Constant effort is made to simplify and abbreviate the requirements. These regulations specifically provide a retention period of 3 years for payroll and certain other enumerated records, and a retention period of 2 years for certain employment and earnings records. These are the minimum periods necessary for proper enforcement of the statute, in view of the 2 and 5 years statutes of limitations applicable, respectively, to employee suits to recover unfair minimum wages and to criminal prosecutions. Moreover, machinery is provided for relieving individual employers or groups of employers of the obligation of keeping certain records for the entire period specified in the regulations, and the Department has granted permission to some employers to dispose of records such as time cards and piecework tickets in as short a time as 90 days.

The basic recordkeeping requirements under the Walsh-Healey Public Contracts Act are substantially the same as those under the Fair Labor Standards Act, Department of Labor Regulations, part 201 (41 C. F. R. secs. 201.1, et seq.), with some additions made necessary because of statutory provisions relating to daily overtime and safety and health requirements. The regulations specifically prescribe a retention period of 4 years. This is plainly reasonable because the 2-year period within which the Government may institute civil suit for liquidated damages under this act (29 U. S. C. 255) does not apply to the imposition of administrative sanctions such as withholding amounts due under contracts and placing contractors' names on the ineligible list, and the willful submission of false records to the Government would be a criminal offense subject to the 5-year statute of limitations.

About half of the 100 enumerated recordkeeping requirements deal merely with the posting of the applicable industry wage order for Puerto Rico under the Fair Labor Standards Act, Department of Labor Regulations, parts 654 et seq. (29 C. F. R. secs. 654.1, et seq.). No retention period is specified for the posting of these notices because the industry wage orders are in effect for an unspecified period—i. e., until a new order is issued. Posting is necessary as long as the order is in effect to notify new workers and to remind old workers of the minimum wage to which they are entitled.

Other recordkeeping requirements relate to the utilization of homeworkers and either adopt the recordkeeping requirements of Regulations, part 516 referred to above, or prescribe retention periods of either 2 years or 3 years.

Specific recordkeeping requirements have also been issued by the Department of Labor under the Fair Labor Standards Act as part of the regulations governing the issuance of special certificates permitting the employment at subminimum rates of learners, handicapped workers, and apprentices. These regulations either adopt the recordkeeping requirements of Regulations, part 516, referred to above (Regulations, pt. 522 (29 C. F. R., secs. 522.1, et seq.) and Regulations, pt. 525 (29 C. F. R., secs. 525.1, et seq.)), or require the keeping of certain records relating to experience of apprentices and fix the retention period as 3 years from the termination of the apprenticeship (Regulations, pt 521 (29 C. F. R. secs. 521.1, et seq.)).

Department of Labor, March 9, 1956—Continued

2. On pages 32 and 33 of its report the task force states that "Hardly a single company knows, for example, that all companies must keep copies of every bill of lading for 2 years under the provisions of the wage and hour law." The above quotation is misleading. Regulations, part 516, of the Department provide that employers *subject* to the Fair Labor Standards Act are required to keep order, shipping, and billing records for at least 2 years. This requirement is appropriate since the law provides a 2-year statute of limitations with respect to actions involving violations of the act, and the majority of the covered employers are aware of the requirement through the information and enforcement activities of the Department's Wage and Hour Division. Experience of the Department discloses no substantial evidence of employer hardship or of a lack of knowledge of the requirement in this regard. We have found that most firms, in order to satisfy their own needs, keep such records for at least 2 years.

3. On page 33 of its report the task force states that certified copies of payrolls must be supplied to the Government in certain types of contracts pursuant to the regulations under the Antikickback Act. The task force concludes that the submission of copies of payrolls is unnecessary because the payrolls could be examined and verified by Government representatives who inspect the projects where the particular work is done.

The antikickback regulations of the Department of Labor (Regulations, pt. 3, 29 C. F. R. secs. 3.1, et seq.) require contractors and subcontractors engaged in federally financed or assisted construction work to submit a weekly affidavit that their employees have been paid the full wages earned, and that no deductions except permissible ones have been made for such wages. The inclusion of this provision is necessary because the Antikickback Act, as amended, providss that the Secretary of Labor shall make regulations for such contractors and subcontractors "including a provision that [they] shall furnish weekly a sworn affidavit with respect to the wages paid each employee during the preceding week." These regulations also require the preservation of payroll records for a period of 3 years from the date of completion of the contract. They do not provide for submission of the actual payrolls.

The requirement that payroll records be maintained for 3 years is plainly reasonable and necessary. Most of the cases submitted by the contracting agencies to the Attorney General for criminal prosecution arise out of the falsification of payrolls.

Contractors and subcontractors performing construction work covered by the Davis-Bacon Act and related statutes are required by Regulations, part 5, of the Department of Labor (29 C. F. R., secs. 5.1, et seq.), to submit a certified copy of all payrolls each week to the contracting agency. This is necessary since the contracting agencies are primarily responsible for ascertaining whether there has been compliance with the labor standards provisions contained in all contracts subject to these statutes.

4. The task force report states on page 33 that—

> industry and particularly small-business men, feel their payrolls can be examined and verified by Government representatives who inspect their projects in any case whether or not copies of the payrolls are computed and submitted to the Government.

This suggestion is unrealistic. A construction contractor does not operate in a fixed location like a manufacturer. He is continually operating in different locations, often in several at the same time. Usually only the basic daily time records are kept at the project itself. They are forwarded to the contractor's business office, which may be a long distance away, where the payrolls are made up and left. The elimination of the submission of payrolls to the contracting agency would entail the employment of a large number of employees by the agencies to act as traveling auditors to check for possible violations.

The contracting agencies do not require any special payroll form. They merely enumerate certain specific information, such as name of worker, classification, wage rate, straight time, overtime, and deductions. The contractor maintains this data in any event, and he need only submit a certified carbon copy of his payroll to the agency.

5. The task force, on pages 37–39 of its report, is critical of the number and duplication of records and reports required by Government agencies. The report mentions the Bureau of Labor Statistics of this Department as one of the agencies the prime function of which is to gather data.

The Bureau of Labor Statistics exerts every effort to avoid duplication in reporting. For example, it has had cooperative agreements with the States for many years in regard to its monthly reports on employment, wages, and man-hours. The report is furnished to the State government, which makes it available to the Federal Government, eliminating duplicate reporting of the same information. This cooperative effort has been extended to other fields and is being expanded as rapidly as possible.

6. On page 41 of its report the task force, under the heading "Reporting by exception," cites the Department of Labor Form BLS 1417 (the form used to collect quarterly statistics on work injuries) as being responsible for the complaint of a business executive that he must file a quarterly report on work injuries although his firm experienced only one accident in 27 years.

The task force missed the point in citing form BLS 1417 as an example of "reporting by exception" resulting in unnecessary paperwork. Obviously, an industry report on accident rates would be meaningless if based solely upon reports from those firms in which accidents occurred during the pertinent period. For statistical purposes it is also necessary to ascertain how many firms had no accidents.

Post Office Department, February 21, 1956

Post Office has made considerable progress in this area in following out the recommendations of the Hoover Commission.

We have a fully activated Forms Control Section that is responsible for postal forms control. Since January 1, 1953, a net reduction of 1,376 forms has been realized, with 4,163 standard Post Office Department forms used throughout the Postal Establishment remaining at January 31, 1956. These standard Post Office Department forms are stocked in supply centers (1,056), in the Department (2,503), and in post offices (604).

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Post Office Department, February 21, 1956—Continued

A definite program for reducing the number of special local use forms in large post offices is underway and satisfactory initial results are being obtained.

Our four supply centers, which supply the entire postal system with forms, have been modernized and equipped with good stock controls to assure postmasters of prompt replenishment of only approved standard forms.

Department of State, February 14, 1956

The forms management program of the Department, concerning which you inquired in your letter of January 19, is a continuing undertaking. As a part of this program the Department has followed up the Hoover Commission suggestion (pt. II of the Report of the Task Force on Paperwork Management) that four forms used by the Passport Office might be simplified or eliminated.

Three of these four forms listed by the Hoover Commission have been consolidated into one passport application form. The previous legalistic language has been simplified and the boxes to be filled in have been revised and rearranged to facilitate completion. The consolidated form should be relatively simple for the average person to complete and is more efficient to process, thus providing better service to the public. Further, by putting the consolidated form on letter-size paper a saving in rental (floor space) and equipment (file cabinets and shelves) cost will be realized. As a result very considerable operating economies are anticipated within the Department. In addition there will be important savings to applicants, court clerks, and passport and travel agents.

The fourth of the passport forms has been redesigned as a result of its examination under the forms-control program. Another passport form, not specifically listed by the Hoover Commission, has also been redesigned as a result of this intensified examination of passport forms, and 10 others, principally used in the Foreign Service, are currently under study. As they come up for reprinting, they will be reduced in size and consolidated where feasible.

Additional accomplishments of the Department during the past year in the reduction of paperwork have included important improvements in consular services and mailing procedures. By abolishing the old consular invoice covering each shipment of merchandise imported into the United States the processing of thousands of such documents by the Foreign Service every year was eliminated. In the Pouch Section of the Department a monthly bill of lading for each carrier was substituted for a bill of lading for each shipment, reducing these documents from an average of 15,000 to 2,000 per year. Important savings were also realized in the General Accounting Office and in the airlines accounting offices.

Apart from the action taken on the Hoover Commission recommendation and reductions in paperwork realized in consular work and in our pouch procedures, the Department under its continuing forms management program recently completed a study of all forms used in the Department and in the Foreign Service. The objective of this comprehensive review, carried out between October 1953 and February 1955, was to eliminate unnecessary forms, retain and improve

necessary forms, and create new forms where they might further economic and efficient performance of an essential operation. When the review was completed 131 forms had been eliminated and 105 revised or replaced; 865 forms were continued without revision.

Following completion of this comprehensive survey there was established a schedule under which all departmental and Foreign Service forms will be reexamined at least once annually, and in some instances more frequently as they come up for reprinting.

You may be sure that in the Department's overall management program the possibilities for savings of money and manpower through forms control will continue to be given emphasis.

Department of the Treasury, February 20, 1956

The forms management program in the Treasury Department is one phase of a comprehensive management improvement program which is designed to take advantage of all the skills and talent available in that Department. The Administrative Assistant Secretary is responsible for directing and coordinating the program. This is done in collaboration with the Management Committee which was established "to further in every way possible the Treasury's efforts to improve, and reduce the cost of, its services."

A small management staff at the departmental level supplies guidance and assistance to the several bureaus in carrying out their responsibilities for effective and economical operating practices.

Most of the larger bureaus such as Internal Revenue, Customs, and Public Debt have full-time management staffs, while the smaller bureaus utilize their top administrative officer in furtherance of the program.

The responsibility for forms management is delegated to the bureaus as a part of the over-all management program. Under this delegation the bureaus are responsible for determining the essentiality, design, printing, and distribution of all forms used within their bureaus. There are certain exceptions, however, where a form and related procedure are cleared through a departmental control point. Such forms include those requiring approval by the Bureau of the Budget under the Federal Reports Act of 1952, proposed standard forms which require approval by the Bureau of the Budget, and accounting forms which require the approval of the General Accounting Office.

PROGRAMS IN MAJOR BUREAUS

All major bureaus have forms control programs designed to provide adequate controls in relation to the volume and importance of forms in that particular bureau.

The bureaus most concerned are Customs and Internal Revenue. These bureaus frequently consult with industry and professional groups in developing their forms and related regulations and have been able to make considerable improvements by this form of contact.

The Bureau of Customs has a comprehensive forms control program which includes the review of each form prior to reprinting to assure that the form serves a useful purpose, that it is required by law or regulation, that it is adequate as to content, arrangement, size and grade of paper, and that no other form (including standard forms) will serve its purpose.

Department of the Treasury, February 20, 1956—Continued

Responsibility for administering this program rests with an administrative officer who reports to the Deputy Commissioner of Customs for Management and Controls. The distribution of Customs forms is handled centrally through the Customs Information Exchange in New York City, from which all Customs field offices obtain supplies of officials Customs forms, including those which are salable.

As a result of recommendations of international air carriers to the Paperwork Management Task Force of the Hoover Commission, the Bureau of Customs eliminated 7 forms, modified or revised 4 forms, and consolidated 8 forms into 3.

The Internal Revenue Service is constantly striving to reduce the amount of paperwork required from taxpayers wherever it is consistent with effective tax administration. As a part of an integrated management program there is conducted a continuing review and analysis of all Internal Revenue Service forms, and the procedures related to their use. Each form is examined to insure that it is actually needed; that all information requested on it will be used; that the design lends itself to the simplest possible preparation; and that only the minimum number of copies are requested. This review and analysis takes place in the Washington office on all forms which are centrally prescribed and in the regional offices on all forms prescribed by the district offices.

A review and subsequent revision of all the form letters used in the revenue collection operation resulted in greatly expediting the replies to the public at a significant reduction in cost.

Ten recommendations with respect to Internal Revenue Service forms were listed by the Hoover Commission Task Force for followup. Recommendations with respect to 6 of these forms have already received favorable consideration and action has been taken to implement them: 1 recommendation was withdrawn, 2 forms listed cannot be associated with specific recommendations, and 1 recommendation was rejected as not feasible.

The Hoover Commission on Paperwork Management—Part I recommended that legislation be enacted to implement a plan which had been developed by the Internal Revenue Service and the Social Security Administration. This plan would increase the Government's efficiency in administering the social security and income tax programs, and greatly reduce the reporting burden on employers by eliminating the quarterly informational return now required for social security purposes. It would benefit employees by providing automatically the opportunity to verify their social security earnings record. The Hoover Commission estimated that the part of the plan which eliminates quarterly wage reporting (Forms 941 and 941A) would save $22 million annually for industry as a whole.

This plan is incorporated in H. R. 7770, which is awaiting action of the Committee on Ways and Means, House of Representatives.

The task force recommendation with respect to discontinuance of a Comptroller of the Currency form resulted in introduction of legislation to repeal legal requirement.

Other specific actions to strengthen the forms management program include a review of reports and reporting systems initiated by departmental orders of January 3, 1955, and June 30, 1955, respectively, and a departmental order of October 24, 1955, which launched a special full-scale search for economies which is now in process.

Federal Civil Defense Administration, February 10, 1956

The Federal Civil Defense Administration forms-management program is conducted by the General Administration, Management Improvement Office. The objectives of the FCDA forms-management program are to—

1. Determine the necessity for each form and each proposed new form and eliminate those found to be unessential.
2. Consolidate similar forms into multipurpose forms.
3. Develop or review procedures for the preparation, use, and control of specific forms or groups of forms.
4. Use standard Government forms to the maximum extent possible.
5. Provide for economical production and usage of forms by designing and printing them on standard sizes and weights of paper.

The procedures for attaining the objectives of the forms-management program are—

1. Offices requiring the printing or reproduction of either new forms or revisions of present forms submit to the Management Improvement Office a rough pencil sketch of the proposed form with the request for printing and a full statement of the purpose for the form.
2. The Management Improvement Office—

(*a*) Analyzes and evaluates the requests and justifications for new and revised forms.

(*b*) Determines (or approves) the type of form based on procedural requirements, the quantity to be printed, the minimum number of carbon copies, and the initial distribution of the form.

(*c*) Assigns form numbers and titles to forms.

(*d*) Arranges for designing and drafting forms.

(*e*) Reviews requests for replenishment of stocks to determine whether the forms should be discontinued or revised and also to determine the correct reorder quantity based on past usage and future needs.

(*f*) Arranges with the Bureau of the Budget, as required, for clearances on appropriate forms.

(*g*) Maintains necessary records to eliminate duplicate and obsolete forms.

The achievements of the FCDA forms management program are—

1. Since January 1951, 76 forms have been abolished.
2. During calendar year 1955, 50 forms were declared obsolete, 50 forms were revised to improve their design or to meet revised requirements, and 38 new forms were developed to meet new and revised program requirements.
3. Unessential forms such as routing slips with names were rejected. A routing slip with space for four names is used by most offices.
4. The use of standard Government forms has been expanded to include ledger type for procurement records and appropriate GSA forms for the procurement of supply items.
5. About 10 forms have been consolidated in recent months.
6. Where possible, the size of forms has been standardized by use of a Vari-Typer machine or by photographic reduction processing.
7. The Bureau of the Budget has approved 28 FCDA forms. The majority of these forms have a specialized use in the contributions program and are prepared by State and local civil defense directors only.

Federal Communications Commission, February 14, 1956

That the Commission has long recognized the need for overall forms management is evident in the fact that for the past 10 years or more our Organization and Methods Division has been charged with the function of reviewing forms used by this agency. At least one person in this Division has worked on this activity full time over these years. In 1951 our forms program was expanded to include a forms representative (in most cases the administrative assistant to the bureau chief) in each bureau and there are now approximately 4 man-years spent each year in the Commission on our forms management program. The responsibilities for forms management have been delegated as follows:

1. The Organization and Methods Division is responsible for—
   (*a*) clearing with the Bureau of the Budget all forms subject to the provisions of the Federal Reports Act;
   (*b*) developing and disseminating all forms control standards used in the Commission;
   (*c*) reviewing all public use and interbureau forms before printing to assure compliance with the standards, and assigning form numbers thereto; and
   (*d*) postauditing all intrabureau forms for compliance with the standards.
2. The bureau forms representatives are responsible for—
   (*a*) assisting bureau personnel in considering the need for all new forms and in applying good forms standards in the development of new forms and revisions of existing forms;
   (*b*) reviewing all intrabureau forms prior to printing and assigning form numbers thereto;
   (*c*) approving for the bureau all requisitions for forms originating in the bureau; and
   (*d*) acting as a focal point on all forms matters in the bureau.
3. The Administrative Services Division is responsible for—
   (*a*) assisting bureau forms representatives in designing forms;
   (*b*) reproducing or requisitioning from the Government Printing Office all forms used in the Commission;
   (*c*) stocking all Commission forms; and
   (*d*) acting as liaison with the Government Printing Office on all forms requisitioned from them.

Since this program was already in effect and operating satisfactorily at the time the Hoover Commission report was released, and since it was in accordance with the recommendations in that report, no changes have been made in our program subsequent to that time. Incidentally, a member of the Commission's staff is a member of the Federal Records Council and was a group leader in the Hoover Commission task force dealing with paperwork management and we are in a good position, therefore, to understand and appreciate the report.

Federal Power Commission, February 15, 1956

The following comments relate to those phases of Federal Power Commission operations which impose paperwork requirements upon industry:

1. FPC Forms Nos. 1 and 2: The Hoover Commission Task Force on Paperwork Management recommended certain changes in the content and in the date of filing of these annual report forms.

Close coordination exists and must continue to exist between the reporting requirements of the Federal Power Commission and the National Association of Railroad and Utilities Commissioners (NARUC) with respect to the electric-power industry and natural-gas industry; accordingly, proposed changes in FPC forms should be reviewed and concurred in by the State commission representatives of the NARUC Committee on Accounts and Statistics. The latter committee has had under consideration for some time certain revisions of the systems of accounts which, if adopted, would require revision of the annual report forms. For this reason, action on the report form recommendations of the task force was deferred pending NARUC action on contemplated revisions in the uniform systems of accounts.

The 1955 NARUC convention tabled the proposal to amend the system of accounts. Since that time the task force recommendations have been referred by the Bureau of the Budget to the Public Utilities Section of the Advisory Council on Federal Reports. Representatives of the advisory council met with a special NARUC committee to review the task force recommendations and make plans for the revision of the report forms on a cooperative basis between the FPC staff, the NARUC accounting committee and representatives of the advisory council. As a result of these discussions, a number of the task force recommendations were disapproved by the advisory council. Proposed changes in the report forms are being considered by the FPC staff prior to referral to the NARUC accounting and engineering committees. Under present plans the necessary coordination between the FPC staff, the special NARUC committee and representatives of the advisory council will be completed in time to permit consideration of the joint recommendations by the NARUC accounting committee in April or May 1956.

2. FPC forms Nos. 4, 5, 11, and 12E: The task force recommended eliminating these monthly reports.

These report forms have been the subject of extensive discussions between the FPC staff and members of the task force and the miscellaneous reports subcommittee thereof. These FPC report forms reflect various phases of company operations and have been determined to be necessary in the commission's regulatory work.

3. National Electric Rate Book and Typical Electric Bills: The task force recommended eliminating the industry information required for these FPC publications.

These publications have wide public interest and serve as a guide to comparative rates of various companies in cities and towns throughout the United States. It has been determined that retention of the publications is in the public interest.

4. FPC form No. 6: The task force recommended that several schedules be eliminated and other schedules be modified in the licensed project initial cost report.

The proposed amendments were submitted to rulemaking proceedings which resulted in a few additional minor changes. The revision of FPC form No. 6, which considerably reduces the volume of paperwork required, was adopted by the Commission January 18, 1956.

Federal Power Commission, February 15, 1956—Continued

5. FPC form No. 7: The task force recommended elimination of this licensed project statement of actual legitimate original cost of construction.

This form constitutes a formal acknowledgment and statement of project costs and is important to the Commission with respect to licensee compliance with the Commission's order fixing the project costs. The cost or net investment is used as the basis for rates and acquisition price under the Federal Power Act. No action is contemplated on the task force recommendation to eliminate the form.

6. FPC form No. 8: The task force recommended eliminating this report of claimed increases and decreases in licensed project plant accounts.

This report fulfills the need of the FPC for keeping up to date information concerning changes in licensed project property and for determining the necessity for and timing of audits of project additions and betterments. Without this report the Commission would be uninformed and lack an essential basis for coordinating its audit programs. No further action is contemplated on the task force recommendation for its elimination.

7. FPC form No. 12: The task force recommended the elimination or simplification of various schedules in this power system statement.

This report is filed annually with the FPC by the electric utilities. Pursuant to discussions with members of the task force and consistent with suggestions of the Public Utilitiy Committee of the Advisory Council on Federal Reports, the filing date for the form has been extended from April 15 to May 1 and instructions in FPC form No. 12 have been revised to eliminate the detailed reporting of data for steam-electric plants with installed capacity under 10,000 kilowatts, instead of under 5,000 kilowatts, and for internal-combustion engines and gas-turbine plants with installed capacity under 2,500 kilowatts, instead of under 1,000 kilowatts. The latter change will permit the affected plants to have data filed on a short schedule consisting of one-third of a page instead of the larger two page schedule. In addition, an alteration has been made in the classification of systems which file FPC form No. 12 to include a new classification which will permit those systems that obtain their entire energy requirements from other systems to file an FPC form No. 12–A, consisting of 5 pages, rather than the 33-page form No. 12. This change in classification will permit some 300 systems to file on the smaller form.

8. Rate Regulation and Certificating of Facilities: The task force recommended that numerous changes be made in the Commission's rules relating to rate schedules and tariffs and applications for certificates of public convenience and necessity.

As a result of a series of conferences between the FPC staff and representatives of the Federal Power Bar Association, the Independent Natural Gas Association and the task force numerous rule changes have been approved by the Commission. These changes simplify and clarify the provisions relating to rate filings and certificate applications, and also affect the notice requirements associated with the filing of rate schedules. Additional studies of the Commission's rules are in progress with the cooperation of industry representatives, and these should result in similar benefits.

9. Regulations for Preservation of Records of Public Utilities and Licensees: The task force recommended extensive revision of these regulations.

As a result of discussions between the FPC staff, representatives of a special NARUC Subcommittee and members of the task force, proposed changes in the regulations were formulated and submitted to the NARUC Accounting Committee. Such changes were thereafter submitted to rulemaking proceedings and adopted by the Commission on December 7, 1955.

Following is a summary of action taken with respect to internal paperwork management which is consistent with the objectives of the Task Force on Paperwork Management:

1. A series of management studies has been instituted through which detailed paperwork processes are being analyzed and simplifications effected. Numerous forms have been eliminated or simplified, files and records eliminated or consolidated and unnecessary extra copies discontinued.

2. Internal reporting requirements have been reviewed and a single monthly progress report (based upon the principle of "exceptions") has been adopted in lieu of several more time consuming reports.

3. A codified system for issuing instructions to the staff has been developed and is now undergoing final review before consideration by the Commission. This system will simplify the control of instructional material issued and limit distribution to those staff members having need of the instructions.

4. A study has been made of duplicating plant processes, and the work flow adjusted for maximum efficiency. Other benefits include improved machine utilization; reduction of overtime; closer adherance to publication schedules; use of the most economical and effective equipment for each type of job, and establishment of standards for production control in order that overruns are limited to that quantity necessary to accommodate initial poor copy and machine adjustments.

5. A correspondence manual is being developed which will include standards covering style, format, presentation, file identification and copy control.

6. A study of all internal forms has been initiated and is expected to result in elimination of numerous forms having marginal value and the simplification of many others. Through assignment of definite responsibility for the design, method of reproduction, coordination and control of new forms, a more economical and efficient system of forms management is expected to result.

7. A study of internal distribution of all publications including orders, notices, opinions, decisions, and administrative media currently is being made. Selective distribution on a "need to know" basis should result in reduced printing costs.

8. A planned effort has been made to reduce to a minimum the number of items reproduced in double spaced form and one side of the paper. Changes which have been made and those anticipated should result in substantial savings in reproduction materials and mailing costs and in reduced collating time and reduced filing space.

Federal Trade Commission, February 20, 1956

REQUESTS TO THE PUBLIC FOR INFORMATION

Questionnaires to the public or industry requesting information are cleared through the Commission's liaison officer with the Office of Statistical Standards, Bureau of the Budget, whenever contacts are planned with 10 or more persons or firms. The liaison officer clears the questionnaires, when necessary, obtaining the approval of the Bureau of the Budget as provided for by the Federal Reports Act of 1942.

Individual requests for information to be used in legal investigations of alleged violations of law are limited to the obtaining of evidence necessary to the investigation or prosecution of alleged violators.

In connection with the surveillance of advertising disseminated by means of newspapers, magazines, and television or radio continuities, the Commission is furnished, upon request, newspapers and magazines from publishers and advertising scripts from networks or individual stations.

The requests to these industries were reviewed for necessity and format shortly after the reorganization of the Commission on July 1, 1954; and in the instance of the newspapers and magazines, it was found that a substantial reduction in the requests for periodicals could be made with no injury to the efficiency of the survey. This reduction was made effective in November of 1954.

In the instance of the request for radio and television advertising scripts, there was effected on April 1, 1955, a complete change in the methods used to conduct the surveillance of the advertising disseminated by these industries. This change was made partly as a result of the review conducted by the Commission as aforementioned and partly as a result of conferences with industry representatives and the Hoover Commission Task Force on Paperwork Management.

Prior to this change continuities were requested for periods of several weeks from some stations, and other stations were not required to report at any time. The Commission, by employing a scientific sample as opposed to the previous hit-or-miss techniques, now completely covers all television and radio stations and has reduced drastically the demands on the industry. This method now employed, having the approval of representatives of the industry and the Hoover Commission task force, is estimated by the industry to result in annual savings of $160,000 to the industry. From the Commission's standpoint, the new method is resulting in a more careful scrutiny of this advertising at a reduction in cost to the taxpayer.

The savings to the Commission in this activity, resulting from the reorganization and installation of new procedures, is 8 positions totaling approximately $30,000.

DISTRIBUTION OF PRESS RELEASES, PUBLICATIONS, ETC.

In the distribution of press releases, publications, and other informational material, the Federal Trade Commission's policy is in strict conformance with the regulations of the Joint Committee on Printing of the United States Congress.

No publication is distributed to any segment of the public unless there is a specific request from the individual receiving the same.

As a general rule, requests for publications, other than those placed by Federal, State, or local government agencies, libraries open to the public, and collaborators in the preparation of the publication, are referred to the Superintendent of Documents, Government Printing Office, if the publication is available on a sale basis.

All mailing lists maintained by the Commission are circularized once a year, and persons that do not indicate a desire to remain on the lists are deleted therefrom.

INTERNAL FORMS, ESTABLISHMENT OF FILES, REVIEW OF FILES FOR NECESSITY, ESTABLISHMENT OF CORRESPONDENCE STANDARDS AND PROCEDURES

Under the reorganization of the Federal Trade Commission effective July 1, 1954, there was established in the Executive Director's Office a Division of Management and Organization whose function, in part, is to revise organization and procedures so as to eliminate needless paperwork, properly utilize manpower, and reduce delay in operations.

As of January 1, 1956, the following has been accomplished in internal paperwork savings under the supervision of this Division:

1. *Investigative records.*—By combining 4 record rooms formerly performing various parts of this function into 2 record rooms, establishing a new procedure, and redesigning the forms used for processing these files, the number of records and reports has been reduced from 39 to 17 and the number of persons employed has been reduced from 35 to 19, with a dollar savings of $53,000 in personnel costs and $8,000 in filing equipment (replacement value).

2. *Form letters.*—Form and guide letters have been substituted for dictated letters in areas where applicable with an appreciable (though untabulated) savings in professional, stenographic, and typing manpower.

3. *Memorandums.*—Lengthy concurring memorandums have been abolished. Full concurrences are noted on the basic memorandums by endorsement.

4. *Economic records.*—In the Bureau of Economics a review was made of the economic files resulting in the reduction of these files by 120 letter-size file drawers ($3,600 savings in equipment—replacement value).

5. *Formal records.*—In the Office of the Assistant Secretary for Legal and Public Records, a review of the auxiliary files resulted in a reduction of these files by 100 letter-size file drawers ($2,250 saving in equipment—replacement value).

These reviews and surveys of paperwork creation and storage will be extended to other areas in the Commission as manpower is available.

General Services Administration, March 16, 1956

GSA has had an internal forms management program in operation since April 1950. The Forms Control and Standardization Branch in the Organization and Methods Division reviews the essentiality of all forms initiated by the central office. Regional offices of management have similar programs and review the essentiality of internal regional office forms. These regional office forms are also subsequently reviewed by Forms Control Branch of the central office.

General Services Administration, March 16, 1956—Continued

Technical guides for the functional consideration of forms, their development, construction, and design, as well as printing methods, are established with respect to all forms used by GSA. Particular emphasis is placed on the clearance and approval of public-use-type forms mentioned. All such forms are carefully reviewed and full justification of need developed prior to their clearance with the Bureau of the Budget. Prior to the promulgation of standard forms which are for non-Federal use, the comments and recommendations of industry are obtained.

In summary it may be said that the operation of the internal GSA forms management program is entirely consistent with the Hoover Commission reports.

The authority and responsibility for GSA forms management on a governmentwide basis has been set forth succinctly by the following documents:

1. Hoover Commission recommendation No. 1 (b) recommended that—

> The General Services Administration be given responsibility for general supervision over all phases of paperwork management throughout the executive branch of the Government with a view to simplifying and improving the quality of forms, correspondence, reports, and other documents, eliminating nonessential copies of material, reducing the volume and cost of paperwork that is currently required to be produced, issued, filed, and stored, and standardizing the procedures and practices relating to paperwork management.

2. Revised Cabinet Record of Action No. 30, for the meeting of August 12, 1955, indicated that—

> The President requested department and agency heads to cooperate with the General Services Administration, which will serve in a central assisting and advisory capacity, with respect to many significant aspects of the executive branch's paperwork management program.

3. The Director of the Bureau of the Budget in a letter of December 21, 1955, stated that—

> In order to effectuate the President's decision, the General Services Administration should develop programs not now in existence for assisting agencies in simplifying and improving their paperwork processes. It is our belief that, within the framework of the executive branch's general management objectives, these programs should be concerned with the improvement of correspondence and letter-writing practices, mailing systems and procedures, and systems for control of forms, reports, directives, and issuances; and methods and techniques for improving the quality and reducing the quantity of forms and records used in agency operations and for simplifying operating procedures involving extensive paperwork. To the extent that business machines and electronic devices can be utilized to simplify such procedures, assistance would be provided with respect thereto.

In order to carry out this expanded program, including improvement of forms management, an additional amount of $150,000 was included in the President's budget for fiscal year 1957. This request is now being considered by Congress.

Meanwhile, with the resources available to it, the Records Management Division of GSA is assisting agencies with their forms management problems. Recent examples of this include redesigning the American passport and passport application forms for the Department of State and conducting a survey of the effectiveness of the forms management program of the Department of Agriculture.

A records management handbook devoted to the subject of forms management is scheduled for compilation and publication in the next 6 months.

Housing and Home Finance Agency, February 17, 1956

The paperwork management program in the Office of the Administrator, which serves as the prototype for similar programs in each constituent of the Agency, is under the general direction and control of the Assistant Administrator (Administration), who heads the Division of Administration. This Division provides the administrative services and facilities for the Office of the Administrator, the Community Facilities Administration, the Urban Renewal Administration, and the voluntary home mortgage credit program. It exercises day-to-day control over the development, design, use, printing, and distribution of forms; the reexamination and simplification, standardization, or elimination of forms; the preparation, routing, and control of correspondence; the maintenance of mailing lists on a current basis; the development and maintenance of active and inactive central files; and the periodic disposal of unnecessary and obsolete records.

The Division has prepared administrative practice handbooks (as part of the HHFA manual series) for the use of the Central Office and HHFA regional offices. These are in looseleaf form and are kept up to date. The Division provides technical assistance and advice on, and reviews all forms proposed for use in administrative and program activities. It is also the central point through which all requisitions for duplication and general distribution of printed materials must pass, for review and approval of adequacy of clearances, administrative practicability, format, and propriety of requested quantity and distribution.

The Division is responsible for the development and maintenance of a uniform records management program, and for providing advice, assistance and training in the establishment of efficient and economical systems for processing, maintenance and disposal of records and files, including the microfilming and storage of indispensable records. Procedures to simplify and improve the quality of communications have been issued. A handbook for stenographers and typists has been developed which explains Agency objectives in communications and records control, and is periodically revised to reflect improvements in in paperwork management.

On an agencywide basis, the Assistant Administrator (Administration) has responsibility for stimulating and coordinating paperwork management improvements, and has recently given special attention to a study of developments in the field of automatic computers, to determine their practicability for use in the many tabulations, reports, and related operations required in Agency programs. Within the past few years, a number of program accounting and tabulating operations have been mechanized successfully, using IBM punchcard systems. So far, the cost of the newer electronic brain computers has been too high to justify their purchase or rental by the Agency, but the possibilities of shared use with other agencies are being explored.

A typical example of the simplification of work and manpower which can often be achieved through mechanization of tabular operations is the very recent accomplishment in the voluntary home mortgage credit program.

The National Committee of the Voluntary Home Mortgage Credit Program, which was established by the Housing Act of 1954, is required by law to study and review the demand and supply of funds for residential mortgage loans in all parts of the country and to receive

Housing and Home Finance Agency, February 17, 1956—Continued

reports and correlate the activities of its 16 regional subcommittees. All staff services of the VHMCP are supplied by the Office of the Administrator.

Until about 2 months ago, each of the 16 regional committee offices were required to submit each month to the National Committee 4 statistical tabulations derived from 8 different hand-prepared tally sheets on the region's applications and program activities; this involved up to 10 man-days of work by the secretariat in each office. The National Committee office, in turn, combined and correlated these tabular reports, requiring some 6 man-days for this work each month. As the volume of VHMCP applications mounted, and operations expanded, the length and complexity of the reports increased to the point where it became apparent that additional staff help of at least eight persons was urgently needed to keep the reports from falling too far behind to serve their intended purpose. A study was promptly undertaken to see what could be done about reducing the workload insofar as possible.

The study resulted in the development of an almost completely mechanized operation. A single comprehensive IBM card form was designed, containing items for all the information required in the reports. All the regional committee staff need do, now, is to circle in pencil, on a separate card for each applicant, the pertinent items of information as printed on the card. At the end of each month, the regional committee offices send the accumulated batch of cards to the National Committee office, without further processing. The Office of the Administrator has entered into a contract with the Bureau of Labor Statistics, which has adequate IBM processing equipment, to prepare the cards for automatic machine tabulation by punching them for the items circled in pencil. Thereafter, the cards may be run through the machines for most any type of tabular reports the central committee may need.

With the new system in successful operation, the hiring of additional staff has been averted, voluminous paperwork in the regional and National Committee offices has been drastically reduced by discarding the 12 forms previously used, and more detailed statistical reports on the overall program are available in far less time than was possible under the old system. When the current run of cards is completed by BLS, the statistical information for the program will be fully up to date and will remain on a current basis.

The extent to which paperwork management is emphasized generally throughout the Agency is well demonstrated by this example and by other examples indicated in the reports received from the Federal Housing Administration, the Public Housing Administration, and the Federal National Mortgage Association, which are summarized in the enclosed statement.

PAPERWORK MANAGEMENT IN FEDERAL HOUSING ADMINISTRATION

The Federal Housing Administration in 1951 established a comprehensive and continuing records management program. First emphasis was placed on controlling the disposition of FHA records through disposal and transfer to Federal records centers. In the period of 4 years to June 1955, savings in space and equipment amounted to

more than one-half million dollars. During the same period individual projects were completed which reduced mail costs, eliminated unnecessary files, consolidated routine letter writing chores, reduced typing costs by the installation of simple copying devices, eliminated hand folding of mail, decreased mail registration, consolidated a large volume of active program files in warehouse space, applied double postcard procedure to locate missing debtors under the title I program, adjusted mailroom work schedules, etc. Approximately $100,000 in savings was realized in this type of paperwork management through June 1955.

In the fall of 1955, the FHA, recognizing a need for a more formalized approach in those areas of paperwork management having to do with the "birth control" of records, established a Records Management Section to give full-time attention to the improvement of forms, correspondence, filing systems, mail management, control of records equipment, printing and distribution costs, and records management training. A forms program is being established along the lines developed and successfully installed in the Department of the Navy and the GSA; all forms and form letters are now subject to review for possible consolidation, elimination, correlation with procedures, application of modern forms design and printing economies. A special study of printing costs, including distribution, is now being made to assure that publication requirements are being met efficiently and economically.

FHA is currently studying the neighborhood information files problem in the field offices, the elimination of information copies of correspondence generally, the possible application of correspondex systems in field offices and in certain areas at the headquarters level. It is working jointly with the Veterans' Administration to combine VA and FHA forms where possible. A complete survey of paperwork in the system for the procurement of supplies, equipment and services is now in progress. Paperwork surveys have been made by GSA in the Los Angeles and San Francisco offices, and the San Francisco report will determine whether a complete national survey would be advisable at this time.

During the year, the FHA program for records management was designated by the National Archives and Records Service as one of those operating effectively in Government. Discussion of the program was included in the Second Institute on Records Management, an annual seminar of the American University on the subject.

PAPERWORK MANAGEMENT IN PUBLIC HOUSING ADMINISTRATION

Record keeping and disposal.—Records are filed in designated decentralized filing stations under the control of records personnel, thereby providing for control over the number of files established and eliminating duplicate files, while providing good reference service to using offices. The number of copies of official documents are prescribed by procedure, both as to those initially prepared and those placed in the files, and given continuing scrutiny to keep them at the essential minimum level. When records become semiactive they are transferred to less valuable space, that is adequate for the purpose but unsuitable for desk space. When records become inactive they are transferred to Federal records centers. Records of long-term

Housing and Home Finance Agency, February 17, 1956—Continued

value relating to individual housing projects are specifically identified by procedure as project docket records, thereby simplifying their identification for storage purposes. The PHA has an established program for the disposal of records that provides for determining the essential minimum period for retaining records, preserving records with permanent or enduring value, storing semiactive records, and disposing of records of insufficient value to warrant continued preservation. Disposition schedules listing the records and the prescribed retention period for each type are developed with the advice and approval of responsible operating officials. After the National Archives has approved the schedules, they are published in the PHA manual system and distributed to interested PHA officials, housing managers, and local housing authorities. An annual report of PHA record holdings is made to the Office of the Administrator showing for the PHA Central Office, field offices, and directly operated projects the volume of records on hand at the beginning and end of the year, records destroyed during the year, and records transferred to Federal records centers.

Correspondence.—The booklet, "Plain Letters," published by the General Services Administration was distributed in the central and field offices of the PHA. Some of the field offices are emphasizing the importance of this booklet by instituting informal training classes. Circulars were issued to central and field office officials on the elimination of nonessential copies of correspondence. For the reporting months of April and August 1955, while the volume of correspondence in the field offices increased 10 percent the volume of informational copies decreased about 1 percent; in the central office, there was an increase of over 100 percent in the volume of correspondence with an increase of less than 20 percent in the volume of informational copies. In attempting to meet the production problems of volume correspondence, PHA has been using Letterex (a preattached tissue and carbon) in special typing situations. There is a substantial saving of typing time and the reuse of the carbon has cut the carbon paper cost in those offices where Letterex is used. Also, form letters are used where practicable and are reviewed before duplicating for ease of completion of blanks.

Forms management.—PHA forms are reviewed before printing for necessity, need for Bureau of the Budget clearance, design, and quantity. Every 6 months the offices of primary interest are circularized to determine if any forms have become obsolete in the preceding period. Also, once a year a check is made with the stock room on forms for which there have been no orders for the previous year. The offices of primary interest are notified of these forms and asked to determine if any are obsolete.

Reports.—A study was made recently on fiscal reporting which resulted in savings by reducing the frequency of some reports and the number of copies of others. Reports required of the public are cleared with the Bureau of the Budget before issuance.

Directives and instructions.—The PHA has a controlled system of manuals and circulars. The manuals are permanent instructions and the issuances are distributed selectively. For ready reference there are checklists for various users which tell when reports are due and where in the manuals instructions for use can be found. There is

also an up-to-date list of PHA forms in which the forms are listed in numerical order with references to manual sections where instructions for use can be found. Circulars are used for one-time directives and instructions and become obsolete automatically 3 months after issuance. The reproduction, assembly, and distribution of directives and instructions, forms and other printing has been studied and the following results are in process of being put into effect: (1) Placing under a single control in a manual and forms section, all operations connected with processing a duplicating and printing request—drafting, typing, and other final copy preparation work, printing and reproduction, assembly, and distribution; (2) training a substitute addressograph operator; (3) physical separation of assembly of printing and duplicating from counting and attaching self-mailers; (4) minimum record keeping through use of the requisition itself as a record of work in the shop; (5) simplification of the actual distribution and mailing process; and (6) close supervision by section heads of changed procedures.

Mail and files operations.—Several studies affecting the central office mail and files operations have been made within the past year. The following recommendations are now in process of being carried out:

A records administration planning office is being established by transfer of functions from the present Records Administration Section. This office will be responsible for developing and revising records administration standards and retention schedules, for interpreting such standards and retention objectives to mail and files personnel, for negotiating retention schedules with Central Office operating officials, and for assisting mail and files personnel generally in the planning aspects of their work.

The remainder of the present Records Administration Section (discussed in the paragraph above) is being reestablished as a Mail and Files Section under the General Services Officer. This unit is being strengthened organizationally. The interoffice mail service is being reorganized to allow for greater flexibility in the use of personnel assigned to this task. Ticketing of incoming mail by the mail and files unit is being discontinued except for mail for the Commissioner's Office, which duty is performed by the messenger assigned to the Commissioner's file station.

Office machines.—The use of electronic data processing machines is being explored with the Bureau of Standards and the Bureau of the Budget for a voluminous statistical and compliance reporting job; the IBM Corp. is in process of doing a onetime computing job on report on local authority employees; and PHA is exploring with IBM the cost and feasibility of preparing local authority bond schedules on their type 650 magnetic drum data-processing machine. Use of tabulating equipment is controlled through scheduling jobs for a year in advance; management studies before new jobs are put on the machines; continuing study of utilization records to determine that there is the proper equipment and that it is being used economically; continuing review of present machine jobs to determine that there is still a need for them, that procedures are as streamlined as possible, and that the tabulations are presented in as usable a form as possible.

Quality control.—The PHA is planning a study of the verification of punchcards to determine the minimum amount of verification necessary to assure accuracy of punching.

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Housing and Home Finance Agency, February 17, 1956—Continued

In editing and checking reports from local authorities on reexamination of families in low-rent housing, a sampling technique has been found to be effective. If a report has 4 pages or less, all pages are edited; for a report of 5 or more pages every second page is edited.

PAPERWORK MANAGEMENT IN FEDERAL NATIONAL MORTGAGE ASSOCIATION

The Association has taken a number of positive actions which were designed to reduce accumulations of records that are created in the normal conduct of its day-to-day operations. Disposal authorizations providing minimum retention periods have been put into effect with respect to all types and classes of record material within the Association. By utilizing a central filing system instead of maintaining separate filing facilities for each of the Association's divisions and sections, the accumulation of nonrecord material is held to a minimum and is further controlled through periodic and systematic programs of purging. As a result, record holdings have been reduced nearly 10 percent within the past 12 months despite an overall increase in operational activity.

The filing system for each of five field offices has been converted to a simple and efficient operation through the substitution of open-shelf filing for the previous method of utilizing file cabinets and cases. This reorganization reduced FNMA's records personnel by approximately 20 percent with an accompanying reduction of 30 percent in the amount of office space required for filing purposes. It is estimated that the space and personnel savings will produce annual savings of approximately $40,000 for the Association.

The Association's Management Improvement Committee, which has as its continuous assignment the consideration of plans, programs, and procedures designed to promote maximum efficiency in the conduct of the Association's activities, controls the creation of printed forms which the organization uses in its activities. Reproduction services provided by other established governmental facilities are utilized to the greatest extent possible and strict quantity control over such reproduction work is imposed through closely supervised internal procedures.

At the request of the Association, specialists from the General Services Administration collaborated with Association representatives in a study of correspondence practices in one field installation. As a result, several economies have been realized in that office through greater utilization of form letters, reduction of paper usage, adoption of standard correspondence practices and other related improvements. Similar attention will be given to the paperwork problems in the other FNMA offices during the coming months.

Interstate Commerce Commission, March 16, 1956

The Hoover Commission reports on paperwork management were prepared in two parts. Generally, part 1 covers paperwork management inside the Government, and part 2 covers paperwork required of the general public by the Government.

This Commission has given considerable attention to the particular problems and recommended solutions included in these two reports and in addition has been giving attention to these matters for many years prior to the publication of the reports.

One of the more recent steps which this Commission has taken to improve management generally, including paperwork management, was the establishment of the Office of the Managing Director which was accomplished in the fall of 1953. This Office performs administrative management functions with particular emphasis on improving organization and operations along the lines recommended by the Wolf Management Engineering Co., of Chicago, which company had recently completed a far-reaching survey of the agency at the request of the Senate Interstate and Foreign Commerce Committee.

With the establishment of the Office of the Managing Director, a small staff of organization and methods examiners was employed to review the Commission's organization and operations, including its paperwork operations, and to develop programs for their improvement. As a part of this program, Records Engineering, Inc., was retained to undertake a comprehensive review of paperwork operations throughout the Commission and the reports and analyses of this firm were completed during the spring of 1955. As a result of this survey, implementation of the recommendations has accounted for savings in excess of $108,000 in replacement value of equipment and in space and personal services costs. Further implementation of the recommendations of this firm is continuing with additional savings to be achieved.

One of the recommendations of Records Engineering, Inc., was that the Commission further increase its paperwork-management activities and to employ additional personnel to facilitate this work. As a consequence, two additional organization and methods examiners were employed, and for the first time this Commission is in a position to more fully concentrate its attentions on problems of this type.

With respect to your inquiry concerning the "overall forms-management program of your [this] agency. This includes review for essentiality, consideration of functional use, design, printing and distribution," I wish to report the following:

The first steps to initiate a program of the type described are being taken in the Office of the Managing Director and copies of all forms in use throughout the agency have been collected with a view to determining their essentiality, appropriateness of design, use being made thereof, methods of printing and reproduction, and so forth. This program also contemplates, as a later stage, the screening of requests for new forms and screening requests for renewals or reprinting of forms already in use.

Reporting forms which are to be used by this Commission in the collection of information from industry are most carefully developed by experts on the staffs of the originating offices and are referred to the Commission level for approval. The Commission, in determining the appropriateness of the information or data-collecting proposal, exercises great caution and restraint, bearing in mind the burdens which will be placed upon respondents, before approving.

All reporting forms so approved by the Commission are transmitted to the Bureau of the Budget by the Secretary of the Commission, which agency further screens the report requested for necessity and

Interstate Commerce Commission, March 16, 1956—Continued

legality, as well as appropriate form design, printing, and distribution requirements.

It is believed that the forms-management program in this agency is being properly organized to achieve the purposes and goals outlined in the Hoover Commission reports on this subject. While new activities with respect to this program have only been recently installed, it is believed that a basis now exists for achieving greater economies both in the Commission and with respect to industry.

At the same time that our forms-management program came into being, this Commission established a records inventory and disposition program. With respect to the latter, arrangements have been made for the transfer to Federal record centers, or the destruction, of 2,264 cubic feet of file material at a first-year savings in replacement value of equipment and value of space of $22,320. This savings was achieved as a result of activities in the first 2 months of this year, and additional savings of a similar character may be expected during ensuing months.

The Hoover Commission Task Force Report on Paperwork Management, part 2, contains a number of comments and observations concerning the submission of reports by industry to the Interstate Commerce Commission. While the task force of the Hoover Commission was studying the submission of such reports to this Commission, meetings were held which the task force, representatives of industry and representatives of this Commission attended. During or as a result of these meetings, and also since the Hoover Commission reports were issued, this Commission reexamined its requirements in connection with these reports. While many of the observations of the task force report concerning ICC reports have been found, after study, to be either inapplicable or impractical, a significant number of improvements have been effected and additional study is in process to determine whether further improvements can be made.

The following list of improvements already achieved is by way of example:

1. The number of Hours of Service Forms Nos. 1 to 8, inclusive, were simplified to a total of five forms. The jurat was eliminated. A post card form was designed for reporting no excess service, with only three items to be filled in by the reporting officer, namely, the name of the road, month covered by the report, and the reporting officer's signature.

2. Revised regulations were adopted to reduce the retention period of records to be retained by motor carriers. As a result it is estimated that a 25-percent reduction in recordkeeping requirements has been achieved.

3. A simplification in the motor-carrier annual report form was placed into effect resulting in savings to reporting carriers.

4. A simplified schedule of revenue equipment on hand at the close of the year in motor-carrier annual reports was placed in effect for the year 1955.

It should be noted that while the specific reports referred to above were noted in the Hoover Commission report, the problems involved had been under study by this Commission itself and by the industry associations for some time preceding the issuance of that report. As a matter of fact, this Commission works very closely with industry

representatives during all phases of the initiation or amendment of reports to be requested from those industries.

We are constantly striving to keep our reporting requirements at a minimum consistent with the Commission's requirements in carrying out its responsibilities as an arm of Congress, and improved and more economical internal forms and printing management is a program of primary interest at all times.

International Cooperation Administration, February 15, 1956

Following is a summary of the action taken by ICA since the establishment of its forms management program in June 1954. Examples of material issued in connection with this program include the agency manual orders explaining its operation, notices issued to employees to dispose of forms declared obsolete as the result of general surveys, and the forms catalogs in use in ICA/W and the overseas missions.

On reorganization of the predecessor agencies into FOA, there were 5 series of forms used by ECA, MSA, TCA, IIAA and SRE, involving as many different sets of procedures as there were forms series. Each series contained hundreds of forms, some of which were used internally within operating offices and some of which had been prescribed by each of the agencies to be used generally in Washington and field offices. There was no information as to which forms in these series were to be continued, which offices were responsible for determination of their status, or where they could now be obtained. In June 1954 our Office of Organization and Methods established and began administering a specific forms-control program. Manual order 330.6, issued August 24, 1954, established a uniform procedure for the forms-management program and established rules for types of forms to be printed and supplied from FOA/W and those which could be printed in the field.

A survey was made to determine (1) which forms in which series were to be used by the integrated agency and by other departments, agencies, or organizations using this agency's forms, (2) which offices under the reorganization were now responsible for the substantive content and instructions on use of the forms, and (3) where stocks of all forms were located.

The following table is a summary of the action taken between June 1954 and June 1955:

Forms in use on integration of FOA:	
SRE series	366
IIAA series	268
ECA, MSA and FOA series	[1] 900
TCA series	40
Total forms in use on integration of FOA	1,574
SRE and IIAA series canceled	634
Balance	940
Forms in ECA, MSA, TCA, and FOA series individually investigated and declared obsolete	749
Balance	191
Forms devised for use to replace 1,383 (634+749) forms canceled or declared obsolete	436
Forms in active use in FOA/W and field (June 1955)	627

[1] Approximate.

International Cooperation Administration—Continued

Forms catalogs have been issued to FOA/W and the USOM's which list by subject grouping and by utilizing office the forms available for general and internal office use. A system is in operation for maintaining the catalogs on a current basis.

In addition to the review of new, revised, and reprinted forms and maintenance of catalogs, the following are examples of surveys of forms and related operations which have been and are being undertaken in connection with the forms-management program:

1. Provision of control system for information and action documents being processed through operating offices.
2. Study of records maintained on participants coming to the United States, in order to standardize recorded information and provide statistics and data for narrative reports.
3. Study of expediting and reporting by authorized procurement agents, involving records maintained in ICA/W and overseas offices, and reports and action documents provided by authorized agents such as GSA, foreign-country purchasing missions, other United States departments and agencies, private contractors, etc.
4. Development of requisitioning systems and assignment control records for administrative servicing offices of the agency.
5. Development and provision of fund-control records for examination and approval of project proposal and approval documents upon which the agency's operations are based.

National Advisory Committee for Aeronautics, February 15, 1956

Only part I on Internal Government Paperwork is applicable to the NACA. The NACA does not prescribe any forms or other paperwork with which the general public is concerned in the manner discussed in part II.

The end product of the NACA aeronautical research program is research information to help American aircraft and guided missile designers produce new and improved aircraft and missiles. As such information is obtained it is distributed in the form of NACA publications. Reports and technical notes, containing information that is not classified for reasons of military security, are available to the public in general. Translations of important foreign research information are published as technical memorandums.

The NACA also prepares a large number of reports containing information of a classified nature. These, for reasons of national security, are closely controlled as to circulation. When it is found possible at a later date to declassify such information, these reports also may be given wider distribution.

Current announcement of NACA publications is contained in the NACA research abstracts and reclassification notices. This service, in addition to telling of NACA publications, makes note of important research reports received from abroad.

In connection with part I of the Hoover Commission report, Paperwork Management in the United States Government, the NACA heartily concurs with the general objectives of the Commission and the task force on paperwork management. As a research agency, in addition to our research reports, the paperwork of the NACA is largely

concerned with housekeeping activities and is subordinated to the demands of our scientific research workload. There is pressure at all levels in our organization to keep down the paperwork to a workable minimum in order to conserve available effort for conduct of research activities.

The NACA forms management program on which your letter specifically requests information is a part of the NACA management improvement program which is monitored by the Bureau of the Budget. At each NACA station the administrative management officer, or an employee designated by him, is responsible for reviewing all requests for duplication of forms.

In line with the recommendations of the Hoover Commission on forms control, a review was made at the NACA Langley Aeronautical Laboratory of all existing forms with a view to reducing their number and developing better controls for subsequent forms design and approval. This review was carried on during the last 4 months of the 1955 calendar year, and the number of forms in use was consequently reduced by 444.

An example of the detail control procedures followed at the NACA Lewis Flight Propulsion Laboratory is given in the enclosed exhibit B[1], forms control program, which is an abstract from the procedures manual of the Lewis Laboratory. Through the application of the methods prescribed, 74 internal use forms have been eliminated to date.

At the NACA Ames Aeronautical Laboratory a review was made within the last month of all standard forms, and 48 forms were eliminated.

In addition to the savings possible through a direct forms control program, other phases of the management inprovement program result in savings in the use of forms. For example, as part of the equipment control program, it was recently found that a simplified equipment control form could be used in lieu of several accountability forms previously maintained. This new form was prescribed for NACA-wide use and made possible, together with changes in equipment control methods, the elimination of more than 150,000 individual property accountability records out of more than 300,000 which were previously maintained.

National Labor Relations Board, February 13, 1956

I. INTRODUCTION

This agency's forms management program was originally established in October 1947, and has been in continuous operation since that time as an integral part of our management staff. In operation it is modeled after suggestions contained in Bureau of the Budget management bulletin, Simplifying Procedures Through Forms Control, issued June 1948.

All requests for new forms and for revisions and reruns must clear through the Organization and Methods Branch. This central point of review is also responsible for clearance of public use forms through the Bureau of the Budget, for maintaining functional, numerical and historical files on internally-prepared forms and for performing the various related functions as outlined below.

[1] Exhibit not printed; retained in committee file.

National Labor Relations Board, February 13, 1956—Continued

II. REVIEWS FOR ESSENTIALITY AND CONSIDERATION OF FUNCTIONAL USE

Reviews for essentiality and considerations of functional use are made as follows:

Stage	*Reviewed and considered by—*
1. Initial proposal.	Supervisor of originating office. Forms analyst, O. & M. staff. Organization and Methods staff member who has conducted the most recent functional survey of the originating office. Incentive Awards Committee, if a result of employee suggestion.
2. Forms analyst's final draft.	Originator. Supervisor of originating office.
3. Requests for revisions.	Forms analyst. Supervisors of offices concerned. Organization and Methods staff member who has conducted the most recent functional survey of the originating office.
4. Requests for reruns.	Forms analyst. Organization and Methods staff member who has conducted the most recent functional survey of the originating office.
5. At any point in the form's use.	Organization and Methods staff member conducting a functional survey of a using office. Forms analyst through conduct of periodic obsolescence inventories. Officials concerned and Organization and Methods Branch staff upon any structural reorganization having an effect on existing forms. Officials concerned and Organization and Methods Branch staff upon any changes in the act or the Board's rules and regulations having an effect on existing forms.

III. DESIGN AND DRAFTING

Determinations of design and the actual preparation of draft are made as follows:

Stage	*Design and Draft by—*
1. Initial proposal and subsequent requests for revisions.	Originator, supervisor of originating office, and forms analyst in consideration of the proposed function of the form.
2. First and/or final draft and all revisions.	Forms analyst in consideration of the form's proposed usage, transmittal and ultimate filing requirements, and in accordance with general standards and guides regarding forms design.

IV. REPRODUCTION

The process to be employed in preparation and reproduction is selected on the basis of applicability to the form's ultimate usage, and economy. The following processes are used in the preparation and reproduction of NLRB forms:

Process	*Reproduced by—*
Mimeograph stencil, multilith master.	Internally by use of mimeograph and multilith machines.
Multilith offset printing.	GPO and GPO Field Service.

V. QUANTITY CONTROLS

The quantity to be reproduced is determined as follows:

Stage	*Basis*	*Reviewed by—*
1. Initial order.	Originating office's estimate of need: (3-month supply for forms reproduced internally, 6-month supply for forms reproduced by GPO).	Forms analyst.
2. Revisions and reruns.	Past usage. (Minimum stock level system points up need for rerun. Minimum levels adjusted to actual usage.)	Procurement and Supply Unit; forms analyst.

VI. DISTRIBUTION

Forms which are used wholly within a single office or whose distribution emanates from a single office are stocked in full by that office. Such office is responsible for the timely reordering of the form.

Forms which are used by more than 1 office or whose distribution emanates from more than 1 office are stocked in part by those offices. These offices make periodic requisitions for supplies of the form to the procurement and supply unit. The procurement and supply unit utilizes the minimum balance system in notifying the forms analyst when additional reproduction is needed.

VII. PROPOSALS FOR STRENGTHENING THE FORMS-MANAGEMENT PROGRAM

Under current consideration are the following recommendations which were made as a result of a forms-management survey conducted by a member of the O. and M. staff:

1. More frequent and more systematic forms inventories.
2. A minimum-level system for forms entirely stocked by a single office.
3. Promotion of wider use of form letters and form memos.

Office of Defense Mobilization, February 24, 1956

The forms-management program in the Office of Defense Mobilization is quite limited in size as is evidenced by the fact that a total of 182 forms and form letters are in use. Of this total, eight are public-use forms and the remainder are administrative and internal use forms. However, even though forms management does not present a problem, this agency has a forms-management program covering internal and public use forms which was recommended by the Hoover Commission.

This agency's forms-management program, including the printing or duplication and the distribution of forms, is centralized in the administrative management staff under the control of the administrative officer. All proposed forms developed within the agency are reviewed to determine whether there are any existing forms which serve the same purpose, whether the form is well designed, and whether the type of reproduction requested is the most economical and practical considering the use to be made of the form. All public-use forms are further reviewed to determine whether the form is essential to the functional program, whether all items of information to be furnished are essential to the central purpose of the report form, and whether the report form exceeds the limits of reasonable need or practical utility, either with respect to the number of respondents, frequency of collection, or number and difficulty of items.

As stated above, this Office's forms-management program is concerned primarily with administrative and internal use forms. The public-use forms are used in connection with the tax amortization program, the Health Resources Advisory Committee's activities relating to the availability of medical personnel, and functions assigned to this office by section 7 of the Trade Agreements Extension Act of 1955. The administrative officer, who is also designated as the forms-clearance officer, secures Budget Bureau clearance on all public-use forms for the agency.

Railroad Retirement Board, February 14, 1956

The overall responsibility of forms-management program has been assigned to our Chief Administrative Analyst who is the head of our central management review unit, the Office of Administrative Planning and Analysis. The work of that Office includes coordination of instructions and procedures, records disposal, forms, reports, and equipment requirements.

Before any new or revised form is initially printed it must be submitted to the Office of Administrative Planning and Analysis. There it is analyzed with a view to simplification, elimination, or consolidation with existing forms; to secure adherence to our standards; and to insure consistency with the requirements of other interested Government agencies.

Forms originated by the Railroad Retirement Board are either for internal use or for completion by employees or employers covered by the Railroad Retirement Act and the Railroad Unemployment Insurance Act. Under those acts, benefits are paid to qualified railroad workers and their survivors.

Our forms are designed to elicit only such facts as are required for administration of those laws, i. e., facts concerning an individual that must be established before a claim for benefits may be allowed

or disallowed. Information required in support of a claim must be submitted by the individual himself, by his employer, or, under special circumstances, by certain other persons. Once the information is furnished it becomes a part of the individual's Board file. Basically, our forms are either (1) applications for benefits, (2) evidence required to support the application, or (3) compensation and contribution reports submitted by employers.

Our form-control system provides for printing an estimated 3 months' supply of a form when the amount on hand reaches an estimated 1 month's supply. Larger minimums are established for forms for which the needs fluctuate rapidly, such as forms required to meet peak loads of unemployment in the railroad industry.

Distribution of the forms required to administer the railroad retirement and the Railroad Unemployment Insurance Act is limited. Our field offices maintain a supply of the forms required for an individual to file an application. Employers secure from our central office the forms to be used in submitting compensation and contribution reports.

Securities and Exchange Commission, February 23, 1956

The Commission, under the several statutes it administers, is directed to formulate and to adopt various forms, rules, and procedures for the purpose of implementing the statutory purposes as expressed by the Congress, most of which are concerned with securing public disclosure of a wide range of information concerning companies issuing selling, and trading in securities and engaging in other activities concerning securities which affect the volume of trading and the prices of securities in the securities markets.

It has been the Commission's policy for many years to review its rules, regulations, forms, and procedures in the light of changing patterns of securities flotation, changes in the basic economy of the Nation, and changes dictated by the Commission's desire to eliminate duplication where possible, and to simplify its requirements without impairment of the public interest or the protection of investors. The heads of the Commission's divisions and offices are responsible for the execution of this policy.

The submission of proposed forms and rules to the Commission is preceded by a high degree of interdivision and office coordination and review. Major considerations are:

1. Necessity for investor protection pursuant to statute.
2. Avoidance of unnecessary paperwork by those subject to the Commission's jurisdiction.
3. Standardization and design for multiple use wherever possible, i. e., fulfillment of the reporting requirements of two or more statutes administered by the Commission by a single submission; or fulfillment of the reporting requirements of statutes administered by the Commission by use of reports required by other agencies.

Following tentative Commission approval, proposed forms and rules are issued for public comment, as required by the Administrative Procedure Act. After careful consideration of views and comments received, the proposals are modified if, in the judgment of the Commission, such action is indicated, and then formally adopted.

Securities and Exchange Commission, February 23, 1956—Continued

Forms and rules are printed at the Government Printing Office or in the Commission's duplicating unit. They are distributed to mailing lists consisting largely of registrants, firms and officers of firms subject to the acts, and legal accounting firms. The mailing lists are revised annually in accordance with paragraph 30, title II, of the regulations of the Joint Committee on Printing.

To facilitate compliance with the statutes and rules, the Commission has been abandoning the use of rigid forms. The majority of reporting requirements are now covered by instruction pamphlets explaining in detail the items of information required. This allows those subject to the Commission's jurisdiction to omit information or items which are not applicable, to space items according to need, and to print copies of statements, applications, etc., without regard to any prearranged pagination or space assignment. It also reduces the Commission's printing requirements and substantially reduces the amount of material required to be submitted.

Some examples of the Commission's efforts during the past 3 years under its rules and forms-revision program follow:

1. On November 17, 1953, the Commission announced a proposal for the adoption of shortened forms and simplified rules for registration of management investment companies and for the registration of the securities of open-end investment companies. After consideration of views and comments received on December 15, 1953, the Commission adopted:

(*a*) A revision of form N–8B–1 under the Investment Company Act of 1940 for registration statements filed under the act by all management investment companies except those which issue periodic payment-plan certificates.

This was the first general revision of this form since it was adopted in 1941. The revision reflects the experience gained over the intervening years and takes into consideration the fact that the form is now used chiefly by newly organized management investment companies. Much of the historical information relating to the operation of companies which were in existence at the time of the adoption of the Investment Company Act is no longer of importance and, hence, the requirements for the furnishing of such information were omitted. The revised form is considerably simplified and has resulted in less work in the preparation of registration statements.

(*b*) A revision of form S–5 under the Securities Act of 1933 for registration of securities under that act by open-end management investment companies which are registered under the Investment Company Act of 1940 on form N–8B–1.

A registration statement on form S–5 consists largely of certain of the information and documents which would be required by form N–8B–1 if a registration statement under the 1940 act were currently being filed on that form. The purpose of the revision was to bring this form into line with the revision of form N–8B–1. It also permits the use in the prospectus of more concise financial data than theretofore was required. The revision of these forms has simplified registration under both acts and has resulted in shorter and simpler prospectuses for open-end management investment companies.

2. On December 3, 1953, the Commission announced a proposed revision of its registration rules under section 12 of the Securities

Exchange Act of 1934. After consideration of views and comments received, on January 28, 1954, the Commission adopted an amendment of regulation X–12D1 and form 8–A to provide for registration of an entire class of securities.

Under the prior practice, registration was effective only as to a specified amount of a class of security so that if additional shares or amounts of the same class were to be subsequently issued, a new application on form 8–A had to be filed for registration of the additional amounts. Under the new practice the original application for registration is deemed to apply for registration of the entire class, and the registration of unissued shares or amounts will become automatically effective when they are issued, without further application, certification, or order. This has eliminated a large majority of the applications previously filed on form 8–A since most such applications are for registration of additional blocks of a class of security already registered in part. In view of the reporting requirements of forms 8–K and 10–K, the filing of such applications was not considered necessary in the interest of investors. Under the new procedure, applications on form 8–A have to be filed only in the event that a new class or series is to be registered. Time and expense have been saved by registrants, exchanges and the Commission itself.

3. On December 22, 1953, the Commission announced a proposal for the revision of the form for the registration of brokers and dealers. After consideration of views and comments received, on February 15, 1954, the Commission adopted form BD as the form of application for registration as a broker or dealer, as the form to amend such an application, and as a form of supplemental report by a registered broker or dealer. On the same date, the Commission rescinded forms 3–M, 4–M, 5–M, and 6–M theretofore used in connection with broker-dealer registrations.

Form BD, a much shorter form requesting much less information than form 3–M, was prepared on the theory that the application for registration should generally be limited to the information necessary to determine whether or not the registrant, or any person controlling or controlled by the registrant, is subject to a disqualification within the meaning of section 15 (b) of the act.

Approximately 20 categories of information previously required to be furnished in form 3–M are no longer required under form BD. These categories of information include various items of information which administrative experience has indicated are not essential in connection with determining the eligibility of the registrant for registration.

4. On March 31, 1954, the Commission announced that it had under consideration a proposal to adopt form ADV as a form of application for registration as an investment adviser, as the form to amend such an application, and as a form of supplemental report to be filed by investment advisers already registered. The proposal also contemplated the rescission of forms 1–R, 2–R, and 3–R, the rescission of rule R–203–2, and the amendment of other applicable rules. On June 25, 1954, after consideration of all comments and suggestions received, the Commission adopted form ADV, rescinded forms 1–R, 2–R, 3–R, and rule R–203–2, and amended other applicable rules.

Before the above action was taken the principal form of application for registration as an investment adviser was form 1–R. This was a

Securities and Exchange Commission, February 23, 1956—Continued

20-page application requesting much information which is no longer considered to be necessary. Form ADV is a 6-page form containing only 16 items.

5. On August 31, 1955, the Commission announced the amendment of rules X–12F–1, X–12F–2, and X–12F–3, and the adoption of forms 27 and 28 under the Securities Exchange Act of 1934, to simplify the procedures in connection with the extension, continuation or termination of unlisted trading privileges in a security on a national securities exchange.

6. On November 10, 1955, after publication and opportunity for public comment, the Commission adopted rules pursuant to the amendments to the Securities Act of 1933 made by Public Law 577, 83d Congress, for better dissemination of information concerning securities offered for public sale.

7. On November 17, 1955, after publication and opportunity for public comment, the Commission adopted form S–12, a new registration form under the Securities Act of 1933 for American depository receipts against outstanding foreign securities. The purpose of form S–12 is to provide a simple procedure for the registration of American depository receipts issued against outstanding foreign securities where the issuer is the entity resulting from the agreement pursuant to which the receipts are issued, or a corporation or trust organized to act only as a conduit in connection with the deposit of the underlying securities and there is no person who performs the acts and assumes the duties of depositor or manager. The form proposes that the prospectus information, which consists of only four items, might be embodied in the receipts. The form may be used, provided (1) that the holder of the receipts may withdraw the deposited securities at any time, subject to temporary delays of a specified nature, the payment of fees, taxes and similar charges and to compliance with any laws or governmental regulations relating to the withdrawal of deposited securities and (2) that the deposited securities, if sold in the United States or its Territories, would not be subject to the registration provisions of the Securities Act of 1933.

8. In 1955 the staff of the Commission concluded a survey of the operations of regulations A and D which provide conditional exemptions from the registration provisions of the Securities Act of 1933 for offerings not exceeding $300,000 in amount. Based upon the facts developed, the Commission published for comment and suggestions by all interested persons a proposed revision and consolidation of regulations A and D and subsequently held a public hearing to afford an opportunity for oral presentation of views. After consideration of the comments received in writing and at the public hearing, and testimony given before a subcommittee of the Interstate and Foreign Commerce of the House of Representatives upon a bill to repeal the statutory provision under which regulations A and D were adopted, on February 14, 1956, the Commission published a modified proposal for revision and consolidation of regulations A and D, and invited the submission of further views and comments.

9. On January 17, 1956, after publication and opportunity for public comment, the Commission adopted amendments to its proxy rules. The principal purpose of the amendments is to require more specific information concerning the participation and the associates

in a proxy contest and as to their activities in connection with the contest and the solicitation of proxies. A further important purpose of the amendment is to clarify the applicability of the rules to proxy contests with respect to the election or removal of directors.

Appendix 1c of the Hoover Commission Task Force Report on Paperwork Management, part II, lists a number of paperwork targets relating to some of the reporting requirements of this Commission. Our comments with respect to each of the items listed follow:

FORMS RELATING TO THE DIVISION OF CORPORATION FINANCE

Form S–1.—On October 25, 1955, after publication and opportunity for public comment, the Commission adopted a revision of form S–1, the form most generally used for the registration of securities under the Securities Act, and a companion revision of form 10, the form principally used for the registration of securities on an exchange. The revision of form S–1 has two principal purposes. The first is to conform its requirements, to the extent practicable, to the corresponding requirements of schedule 14A of the Commission's proxy rules, and to the annual report form 10–K under the Securities Exchange Act. The revision of form 10 has a similar purpose, and thus the basic and most commonly used registration and reporting forms under the Securities Act and the Securities Exchange Act have been brought into conformity on parallel items so that registrants may report such information as is essentially similar in the same manner and subject to the same requirements under both statutes.

The second principal purpose of the revision of form S–1 is to adjust and clarify certain items of the form in the light of the Commission's experience in reviewing registration statements and of the practice followed by registrants using the form. The form now states more clearly, and, in some instances, in more detail, those items which appear not to have been fully understood by a substantial number of registrants; and to treat stock options so as to obtain more complete information about the aggregate amount of options outstanding at the date of the offering.

Form S–8.—Is a simplified form under the Securities Act of 1933 for the registration of securities offered pursuant to employee stock purchase plans. This form was adopted June 16, 1953. The Commission is considering the extension of the use of this form to other issues of securities.

Form S–9.—Under the Securities Act of 1933, is for the registration of nonconvertible, fixed-interest debt securities of an issuer which is required to file reports pursuant to section 13 or 15 (d) of the Securities Exchange Act of 1934. This form was adopted July 21, 1954. It was amended in a minor respect on October 11, 1954. No further amendment or revision of this form is contemplated.

Form 8–K.—Under the Securities Exchange Act of 1934, is for reporting significant changes in registration statement items, e. g., changes in material contracts. A revised form 8–K was adopted January 28, 1954. The revision eliminated certain items calling for information which the Commission felt need not be the subject of a current report. In addition, the requirements with respect to exhibits were restricted to matters of special importance, and the requirements with respect to the financial statements were clarified.

Securities and Exchange Commission, February 23, 1956—Continued

Form 9–K.—On June 23, 1955, after publication and opportunity for public comment, the Commission adopted a new form 9–K, which provides for midyear reports (in lieu of the former requirement for quarterly reports) of certain profit and loss and earned surplus data by registrants under the Securities Exchange Act of 1934 and by certain registrants under the Securities Act of 1933. The new form is to be filed only once a year, 45 days after the end of the first half of the fiscal year. Reports on the form are to contain specified items of information with respect to sales and gross revenues, net income before and after taxes, extraordinary and special items, and charges and credits to earned surplus. The form does not require formal statements of profit and loss or earned surplus and is not required to be certified. Provision is made for any necessary or appropriate qualification or explanation of the information given. Where registrants otherwise issue semiannual statements containing the information called for by the form, copies of such statements may be filed and incorporated by reference in the form in lieu of setting forth the information in the form itself.

Form 10–K.—Under the Securities Exchange Act of 1934, calls for annual reports by issuers who are registered under that act and by certain issuers registered under the Securities Act of 1933. It contains annual financial information and changes in basic information contained in the registration statement. A revision of form 10–K was adopted on January 28, 1954. The revision eliminated the need for filing separate forms for firms reporting to the Interstate Commerce Commission, Federal Power Commission, and the Federal Communications Commission. Forms 12–A–K and 12–K formerly used for this purpose were rescinded. Copies of reports to the aforementioned agencies may be substituted for information required in answers to items in form 10–K. Only one copy of such reports need be filed. Proxy statements and printed annual reports to stockholders may also be used in answer to certain items in the annual report on form 10–K and in lieu of certain required financial statements.

Form 12.—Under the Securities Exchange Act of 1934, was an application for registration under that act by companies making annual reports to the Interstate Commerce Commission or to the Federal Communications Commission. The form was rescinded on October 25, 1955.

Identifying statement.—The reference to an identifying statement is not altogether clear. This is a term used in rule 132, adopted in 1950, which permits the use of statements containing certain limited information prior to the effective date of a registration statement. This rule was largely superseded by the Commission's rule 134, adopted August 29, 1955. However, rule 132 is being retained for the time being until some of the States have adapted their statutes and regulations to the requirements of the amended 1933 act.

Accounting regulations.—Financial statement requirements of each form are reviewed in connection with revisions of the forms. Accounting regulations in general are amended as experience and the needs of investors indicate that changes are necessary.

FORMS AND RECORDS RETENTION SCHEDULES RELATING TO THE DIVISION OF TRADING AND EXCHANGES

Forms R–2, 3, and 3A are quarterly reports on working capital and plant and equipment expenditures. We have been unable to determine why these forms were listed in appendix 1c. Perhaps 1 or 2 business groups mentioned them. The forms are simple and are filed *voluntarily* by business firms. No law or regulation requires it, but it is done to provide basic data for statistical series of value to business. Form R–2 furnishes basic data for the reports on corporate working capital, inventory positions, etc. Forms R–3 and 3A furnish the basic data for the surveys of actual and proposed plant and equipment expenditures.

It has been officially stated that this survey "is of major importance to Government officials and businessmen generally as well as to others for appraisal of trends in economic activity and for formulation of appropriate economic policies" (Report to the Board of Governors of the Federal Reserve System by the Committee on Business Plant and Equipment Expenditure Expectation, June 1955, at p. 25).

No one has suggested to us that these reports be modified or eliminated and we have no proposals for that purpose.

Rule X–17A–4, pursuant to the Securities Exchange Act of 1934, requires brokers and dealers to retain records specified therein. There is nothing in the Hoover Commission report or the task force report which indicates that the securities industry participated in the task force program or complained of this particular requirement. The rule seems to be authorized by section 17 (a) of the act, and to be reasonably clear, and the retention periods appear reasonable and related to the applicable statutes of limitations.

To our knowledge, no one connected with the Hoover Commission has requested any modification of this rule and we do not propose it.

FORMS AND RECORDS RETENTION SCHEDULES RELATING TO THE DIVISION OF CORPORATE REGULATION

Form U–3A3–1 is an annual statement filed by commercial banks claiming exemption from any obligation, duty, or liability imposed by the Public Utility Holding Company Act of 1935 upon such banks as holding companies or affiliates of public utilities solely by reason of owning, controlling, or holding with power to vote 5 percent or more of the outstanding voting securities of any public utility or holding company. Rule U–3 or its predecessor rule has called for the filing of periodic forms by commercial banks claiming the exemption afforded thereby since the inception of the original predecessor rule in 1936. Originally it called for quarterly reports; later it called for rather detailed annual reports showing holdings of any amounts of securities of public utility or holding companies by the bank in any capacity. In 1950, after extensive review of the matter, including discussion with representatives of the banks concerned, the Commission adopted the present form U–3A3–1 which reduced to what is considered the absolute minimum the information called for. It would be contrary to the public interest and the interests of investors and consumers to abolish this report form in view of the fact that commercial bank administered personal trust and pension trust funds constitute a

Securities and Exchange Commission, February 23, 1956—Continued

largest single category of institutional holders of corporate stocks and that such banks have discretionary powers to vote the equity securities held in many of these trusts. There is now in progress a program for the review and revision of all forms and rules under the Public Utility Holding Company Act of 1935, and rule U–3 and form U-3A3–1 will in due course be reexamined once more.

Section 15 of the Public Utility Holding Company Act of 1935 authorizes the Commission to adopt rules, regulations, or orders relating to the keeping and preservation of records, accounts, etc., for registered holding companies, subsidiaries thereof, and mutual service companies. Pursuant to this section, the Commission had adopted rule U–26, prescribing a uniform system of accounts for holding companies, and rule U–93, prescribing a uniform system of accounts for mutual and subsidiary service companies. In each of these uniform systems of accounts it is further prescribed that records, very broadly defined, supporting any of the accounts must be permanently preserved, except as otherwise authorized by the Commission.

The recommendations of the Utility Committee of the Paperwork Management Task Force, upon which we commented in February of 1955, included a suggestion that a schedule should be adopted for the retention and disposition of records by registered holding companies. This Commission stated in its comments that it was in accord with the Committee's suggestion. However, as was pointed out at that time, such a schedule for retention and disposition would not have been possible prior to the completion of the section 11 program under the Holding Company Act because it would have involved the application of a records disposition schedule to companies who had section 11 matters still pending. Work is now in progress on recommendations for adopting schedules for the disposition of records. In this connection consideration is being given to the recommendations by the Records Committee of the Utility Committee. In the meantime it may be noted that any company seriously burdened by what seems an unreasonable quantity of retained records may seek specific relief by order from the Commission.

Selective Service System, February 16, 1956

Under the Universal Military Training and Service Act, as amended, each registrant has placed upon him the obligation to serve in the Armed Forces of the United States. The law and the regulations issued by the President pursuant thereto, authorize various exemptions and deferments if the facts in the individual case warrant it, but the burden of submitting these facts to the local board rests upon each individual registrant. All of the selective-service forms used in connection with the functions of registration, classification, and selection, are designed to facilitate the submission by each individual registrant of all the pertinent facts in his case, in order that his local board might determine his eligibility for such deferment or exemption. Other forms used by the agency are for administration and the processing of registrants for induction.

The Selective Service System in its operation uses its own agency forms, standard forms which are controlled by the Bureau of the

Budget, and forms by other agencies, such as the Department of Defense, General Accounting Office, Treasury Department, Civil Service Commission, or the General Services Administration, necessary to implement the provisions of the Universal Military Training and Service Act.

There are 120 national selective service forms used in the administration of the Universal Military Training and Service Act, as amended; 57 of these are described as operating forms and are used in the registration, classification, physical examination, and the induction of registrants. The remaining 63 are concerned with housekeeping functions, required by personnel and fiscal requirements; 12 other operating forms are either standard forms controlled by the Bureau of the Budget or Department of Defense forms which are used jointly by Selective Service and by the Department of Defense. The Selective Service System also uses the housekeeping forms which are in general use by all Federal agencies in connection with personnel, fiscal, and procurement administration. This agency has little control over the latter forms, since they are prescribed by the General Accounting Office, the Treasury Department, the Civil Service Commission, or the General Services Administration. Therefore, my remarks apply to forms used by the Selective Service System and those standard and Defense Department forms used in registration, classification, physical examination, and induction of registrants.

The 56 State headquarters have found it necessary from time to time to use supplemental forms in addition to those listed above, in order to secure additional information necessary for their local boards to properly classify registrants.

Approximately 2 years ago this headquarters started a survey in this area and found that approximately 2,000 forms were then in operation. Since the start of the survey, the number of these forms has been reduced by several hundred, either by eliminating forms or by prescribing standard forms to take the place of several issued by the State headquarters.

With respect to the three items specifically referred to in your letter of January 20, the following explanation is offered:

1. *Essentiality.*—No selective service form is prescribed for use throughout the Selective Service System until its essentiality has been fully demonstrated, and a demand is in evidence, either by regulation, or the adoption of numerous forms of the same nature by State directors of Selective Service. State directors, in prescribing State forms, are required to justify their use, particularly with respect to those forms which are subject to review under the Federal Reports Act of 1942. Cognizance is also taken of the Federal Records Law of 1950 in this respect.

2. *Consideration of functional use.*—In prescribing a National Selective Service form, full consideration is given to the job the form is intended to perform, including the source from which the record content is to be procured, the relationship of the material on the form to other information in the possession of the office of record, and the possibility of utilizing the new information in other program activities of the agency.

3. *Design.*—Most Selective Service forms pertain to individual registrants, and forms are designed with the objectives of (1) supplying full and complete identification in a standard continuity of format

Selective Service System, February 16, 1956—Continued

which will be most efficiently completed, known to the trade as "screening information", (2) identifying the Selective Service System completely as to each administration level concerned, (3) identifying the respondent and provide him with a means for supplying information in the least burdensome manner, (4) arranging the material in sequence or continuity in keeping with the normal progression of action taken by the respondent or the employee completing the form, and (5) adequately documenting the form by date and authenticity of identification, the person responsible for its preparation.

Small Business Administration, February 10, 1956

This agency is in complete agreement with the views expressed by you and the Hoover Commission. As we commented before, in giving our views to the Bureau of the Budget on the Commission's reports on paperwork management, the Small Business Administration has only four forms which it uses in conducting its operations with members of the business community, with the exception of loan forms used by firms requesting financial aid.

The agency, in its internal operations, has a total of less than 200 forms for use in all day-to-day activities such as accounting, supply, internal reporting, and the like. Our forms are constantly reviewed for essentiality, consideration of functional use, design, printing, and distribution. In addition, a periodic check is made to ascertain whether the original need for the form continues; in this way we have been able to make a considerable number of cancellations. Our last overall check was completed within the last month, and 26 internal forms were canceled.

The Small Business Administration does only draft-type design work of forms; the drafts are submitted to the Government Printing Office or the Department of Commerce for design and printing. Our agency has only an office-type duplicating shop for administrative needs.

United States Information Agency, February 15, 1956

The United States Information Agency has a forms-control program which has been in existence since the creation of the Agency in August 1953. It is organizationally located in the Management Division, Office of Administration. The program comprehends control over the design, printing, distribution, and procedural use of all forms, form letters, and other related printing materials such as labels, covers, instructions, stationery, tags, etc.

The Agency, since its inception, has created 272 forms and 78 form letters, which are used almost exclusively within the Agency for internal operating and administrative purposes. Ten of the forms, as listed below, require information to be submitted by persons other than Agency personnel. Seven of these forms are used in connection with the Agency's program for assisting in the circulation abroad of eligible American audiovisual materials, primarily by certification of their international educational character. The forms marked with an asterisk are used in the Agency's personnel-recruitment program.

IAP–1, Application for Certificate of International Educational Character (Motion Picture).

IAP–2, Application for Certificate of International Educational Character (Recording).

IAP–3, Application for Certificate of International Educational Character (Film Strip).

IAP–4, Application for Certificate of International Educational Character (Slides).

*IAP–6, Application for a Grant for Service in a Binational Center Abroad.

IAP–7, Request for Motion Picture Data.

IAP–7A, Request for Film Strip Data.

IAP–8, Application for Certificate of International Educational Character (Wall Charts, Maps, Posters).

*IAP–9, Supplement to Application for Foreign Service Appointment.

*IA–168, Confidential Appraisal Questionnaire.

Of the total number of Agency forms and form letters, 10 are used and stocked in the Agency's overseas establishments. To avoid duplication of forms, additional shipping, stocking and handling costs, the Agency has arranged with the Department of State for the use of many of the Department's forms wherever feasible in our overseas establishments. Such an arrangement is possible because the Agency's administrative services overseas are furnished by State Department in accordance with the administrative support agreement reached with that Department.

The mechanics and processes of the Agency's forms control program insures that all requests for new forms are cleared and approved by the forms control officer in the Management Division. In the process of reviewing a proposed form, the following criteria are applied:

1. Is the form designed properly (is space utilized most effectively)? Are the entries in proper sequence? Is the form easily read and understood? Can the form be readily filed and referred to?

2. Is the purpose and procedural use of the form essential? If an operating procedure is affected, has the operation been geared into the form? Will the form accomplish its purpose? If multiple copies are requested are all copies essential?

3. Does the form duplicate existing Agency forms or United States Government standard forms?

4. If a specialty form is requested does the anticipated value justify the additional printing costs?

5. Does the form meet standard printing specifications necessary for production of the form?

Close working relationships between the Management Division and the Agency's printing and liaison officer insure that no forms—either new or rerun—are reproduced without the approval of the forms control officer. Minimum stock levels are established, and liaison with distribution and supply channels are constantly maintained. Appropriate offices of the Agency are notified of the creation and purpose of a new form.

The forms control officer also works closely with the correspondence review staff and the Agency records management officer on such matters as the construction and wording of form letters, and the filing of forms. The forms control officer is also responsible for assuring

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United States Information Agency, February 15, 1956—Continued

that necessary clearances are obtained from the Bureau of the Budget on forms which require that Agency's approval.

The forms-control officer supervises the maintenance of a visible index file of each form adopted by the agency, and a functional file which contains sample copies of each form and pertinent correspondence about the form. A forms catalog, containing the number, title, description, procedural reference, utilizing office or offices, and stock location, is now being prepared for issuance to agency staff.

A continuing review of agency forms is made by the forms-control officer with a view toward elimination of obsolete forms, and the simplification and consolidation of other forms. For example, the agency recently reduced from 16 to 8 the number of statistical program reports submitted by its overseas offices on printed forms. We are also making a survey to determine whether several of our shipping forms can be combined into one form. The forms-control officer also studies and makes recommendations concerning items of correspondence which can be eliminated or simplified through the use of appropriate form communications. As an example of this type of activity, we are now considering the feasibility of rubber stamping copies of requisitions for publications, to replace individually typed communications, indicating action taken.

United States Tariff Commission, February 21, 1956

The Commission has received and carefully considered your letter of January 23, 1956, with respect to your committee's study of Government paperwork. This Commission has, of course, studied the reports and recommendations of the Hoover Commission and cooperated fully with that Commission in the development of its recommendations.

This Commission is in full sympathy with the views expressed in your letter concerning the desirability of reducing to the greatest possible extent the forms and questionnaires which must be filled out by industrial and business groups. The Tariff Commission is required by law, in connection with its investigations, to secure information from members of the industry directly concerned. The Commission, however, exercises the greatest care in the preparation of such questionnaires to assure that only essential information is requested and that it is requested in a form which will be as simple for the industry to furnish as possible. In addition, as you know, all such questionnaires are further reviewed by the staff of the Budget Bureau and in many cases by an advisory group of business representatives with the same objective in mind.

With respect to internal paperwork, the Commission as a small, centralized agency of some 200 employees operates, we believe, with a minimum of paperwork and redtape. A continuing effort is made to insure that forms and questionnaires are used only where necessary for effective operation and are designed for the greatest simplicity.

Veterans' Administration, February 15, 1956

The Veterans' Administration is endeavoring to deal with its paperwork management, particularly in its dealings with veterans and their dependents, in the spirit of the following letter to all employees of the agency, under date of November 3, 1953:

My Fellow Workers In VA:

Our business is people. The VA exists only to help people who have helped their country and those dependent on these veterans. In our relations with these human beings who come to us for help we must act, speak, and write with the human touch. Too often we are not doing this in preparing letters to claimants. And yet most of our contacts with people are through the written word.

When we use cold, stiff, formal language we give the impression that we are dealing with a "case," and not an individual who sought our help. Recently such a letter to a veteran's widow was sent to my office for signature. It was curt to the point of being brusque. I could not sign such a letter. It was returned to be written in simple human language. I fear that every day too many letters like than one—cold and impersonal—go out to the people we are here to help if we can.

We deal in service and the VA has a place only for employees who can give service with patience, sympathy, and understanding.

I know from contact with employees that they have a genuine interest in serving veterans. In order that veterans may understand how we in the VA feel about them, it is important that we write to them with the same warm cordiality with which we meet those who visit us to discuss their business.

I want each of you, wherever you may be in our organization, to strive toward this end. You may be assured of my continued personal interest in how well we humanize our relations with veterans and their dependents.

Sincerely,

H. V. HIGLEY, *Administrator.*

Since the Veterans' Administration deals in service to millions of veterans and their dependents throughout the country its activities must, of course, include a bast amount of paperwork. Over the years, necessarily, the agency has developed policies, for application agency-wide, which provide for intensive management consideration from the moment thought is given to the creation of a record to the time of its ultimate disposition.

The annual report of the Veterans' Administration to the Congress for the fiscal year 1955 will contain the following information pertinent to your inquiry:

The significant overall developments in paperwork management during the year were (1) accelerated emphasis on disposition of nonessential records, (2) discontinuance of the operation of the VA records service center and the use of GSA Federal records centers, and (3) better controls on the creation of records.

On June 30, 1954, the Veterans' Administration was maintaining approximately 1,579,972 cubic feet of records, an increase of 5 percent over fiscal year 1953. On June 30, 1955, the total VA records holdings was approximately 1,281,200 cubic feet, representing approximately an 18-percent decrease over fiscal year 1954. This substantial decrease in records holdings was accomplished, despite the continued increase in the number of claimants for veterans' benefits, through several major improvements in the management and administration of records.

The 98,960 cubic feet of essential records maintained at the VA records service center, Columbus, Ohio, were transferred to the custody of the General Services Administration at its Federal records center, Kansas City, Mo., and the records service center was closed at the end of the fiscal year. Disposal authority was obtained from Congress for destruction of approximately 109,788 cubic feet of nonessential records which had been maintained at Columbus. These transfer and destruction actions permitted the release of 154,847 square feet of space at Columbus, Ohio, which aided the General Services Administration in reducing leased space by an estimated $308,000.

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Veterans' Administration, February 15, 1956—Continued

During fiscal year 1955 approximately 122,137 cubic feet of records, exclusive of the 98,960 cubic feet transferred from the VA records service center, were transferred to Federal records centers as compared to 19,026 cubic feet transferred in fiscal year 1954. The reevaluation of file series of large volume which did not have retention periods, begun in 1954, also began to pay dividends during this fiscal year. The continuing emphasis on reevaluation of file series together with the disposal of other nonessential records resulted in the destruction of an additional 78,859 cubic feet of records or a total destruction of 188,647 cubic feet of records for the fiscal year.

Virtually no filing equipment was purchased during the year. Primarily, this was due to the accelerated emphasis on disposition of nonessential records. Strong assistance came from curbs on the creation of records from improved procedures, reports control, correspondence management, and form and form letter control and standardization. Continued emphasis was placed on better utilization of existing equipment and stringent controls were put on its purchase. In those areas where there was a real need for additional filing equipment most requisitions were filled from excess VA equipment.

Under the records security program approximately 25 million vital and irreplaceable records were microfilmed or duplicated in paper form and placed in the security depository and relocation center. In addition, a survey was completed of all VA records to (*a*) insure that all records of a vital policy or operating nature were being secured and (*b*) eliminate any of the records included in the program which no longer fell within the category of indispensable records. As a result certain additional file series were determined to be indispensable, and security for these records will be provided during fiscal year 1956.

Thus the paperwork management program of this agency is on an active and continuing basis. All elements of organization are required to establish effective controls over the creation of records, to assure adequate documentation, to make proper use of the records created, to assure simple and effective practices in the accomplishment of paperwork, and to make timely disposition of the records in accordance with appropriate authority after they have served their usefulness. Within the framework of this overall paperwork management program, the Veterans' Administration has established and maintained firm programs of printing control, form and form letter control and standardization, correspondence management, reports control, and records disposal. These programs are not only fully in the spirit of furtherance of the Hoover Commission objectives of reducing Government paperwork, but in fact antedate the establishment of the Commission itself.

The Veterans' Administration has maintained since 1946 a continuing program for the control of forms and form letters in the full modern concept of that term. This has included, on an agencywide scope, the identification of and accounting for all forms and form letters in use, the analysis of all active or proposed new forms and form letters for essentiality and the elimination of obsolescent and duplicating items, the application of the most advanced techniques of design to promote operational efficiency, and the furnishing of detailed specifications for the most economical production.

It has been an undertaking of considerable magnitude and productive of results which are believed to be outstanding in the Government. Immediately following World War II, the Veterans' Administration was faced with a tremendous expansion of activities which resulted in the meteoric increase in the number of forms and form letters in use. Thus the early emphasis was on reduction in number of thousands of different instruments by which daily operations were carried out. This phase of the program accounted for an overall reduction of

approximately 80 percent in the number of forms and form letters in use. It will perhaps be significant to the special interests of your subcommittee to point out that a standardized form is one which is printed or reproduced centrally, under prescribed rules therefor, and is stocked in common supply for all using offices or field stations.

Following the reduction or "house-cleaning" phase, the program was concerned with continuing refinements and improvements in existing forms and form letters and with careful scrutiny of proposed new additions to the group, to the end that the gains realized should not be dissipated. This coincided roughly with the reorganization of the Veterans' Administration in September 1953, as the result of which the forms and form letters control program was decentralized into each of the three operating departments (Medicine and Surgery, Insurance, and Veterans' Benefits), and a staff program under the Assistant Administrator for Administration. The former have full responsibility for matters pertaining to the offices and field stations under their jurisdiction; the latter is concerned with the overall aspects of the program, as well as forms and form letters which are agencywide in scope or which pertain to other staff elements.

There are several significant features of present policies and procedures in the control of forms and form letters, as reflected in chapter 4, Form and Form Letter control, of part II, VA Manual MP–1. The basic approach is one of continuous effort toward improvement, simplification and standardization. Full responsibility for determinations of essentiality is lodged in one or the other of the control staffs, as is responsibility for design and specification. The programs are staffed with competent technicians many of whom have had several years practical experience in this field and the staff affords the means of review and comparison of the separate programs, as indicated by the following:

Management control summary—Form and form letter control and standardization—Total forms and form letters in use

End of June—	Forms			Form letters		
	Total	VA standard	Field station	Total	VA standard	Field station
1946	22,000	2,030	19,970	[1]	[1]	[1]
1947	12,758	2,243	10,515	9,761	711	9,050
1948	7,371	2,417	4,954	5,302	672	4,630
1949	5,524	2,589	2,935	3,511	711	2,800
1950	5,263	2,854	2,409	2,306	837	1,469
1951	4,248	3,069	1,179	1,590	895	695
1952	4,252	3,220	1,032	1,451	964	487
1953	4,459	3,318	1,141	1,557	997	560
1954	4,636	3,401	1,235	1,751	975	776
1955	4,701	3,376	1,325	1,794	907	887

[1] No figures available.

Provision is made for the registry and identification of all agency forms and form letters, including those peculiar to a single field station, and general minimum standards are prescribed. With respect to public-use forms and form letters, the general subject of which is mentioned in the second paragraph of your letter, the Veterans' Administration must carry out most of its contacts with the public

Veterans' Administration, February 15, 1956—Continued

by means of questionnaires, applications, statements, and the like. Most of these directly involve veterans and their dependents and relatively few involve reports from industry and other segments of the nonveteran public. There are more than 500 forms in current use which have been cleared by the Bureau of the Budget and are subject to periodic review by the Bureau under the Federal Reports Act of 1942. Only a minority involve reports from the nonveteran public, such as information from lending institutions as needed for the veterans' loan guaranty program, and certain reports from educational institutions and job-training establishments as required for the veterans' education and training program. It will be noted that the policy manual provides for application of this and other prescribed clearance requirements to all forms and form letters whether initiated in Central Office or in the field.

Application for Special Dividend, Form 9–430, is an example of an end product of the controls and techniques described above. This form was the application for the first special dividend of the national service life insurance program in 1949. It is an example of the Veterans' Administration contacts with the veteran public. In this case an estimated 16 million veterans were involved. It received widespread notice as an example of simplicity and directness in the field of Government forms.

The Veterans' Administration has a strong record of correspondence improvement, which stresses both quality and economy. In addition to standardizing as much correspondence as possible by the use of form letters, the Veterans' Administration is one of the pioneers in the field of developing supplemental systems of flexible pattern letters and pattern paragraphs. These reduce dictation and review, further control and standardize replies, and further insure quality and minimum records creation.

Agencywide reports control has been exercised for many years and at present a review of report structure is being conducted. The purpose of this review is the elimination of unnecessary reports and the revision of existing reports where necessary.

Department heads, top staff officers, and managers of field stations were directed on November 30, 1954, by circular 34, to instruct their line and staff officials and publications control officers to take every reasonable measure to tighten the controls on printing. Every printing request, however large or small, is required to be fully justified, quantities critically reviewed, and both held to absolute minimums consistent with sound usage, storage, and distribution requirements. Controls on distribution were similarly tightened.

By these means the Veterans' Administration has exercised and continues to exercise stringent review and control of all printing. Every form or form letter, or other material printed by the Veterans' Administration is critically reviewed as to necessity, as to design, as to quantity, as to distribution, as to every factor possible which when carefully weighed will tend to keep our printing to the minimum necessary—but when necessary, up to certain standards of quality as well.

Forms Management Assistance Provided Departments and Agencies by the General Services Administration

The Federal Property and Administrative Services Act of 1949 (63 Stat. 377), effective July 1, 1949, provided for the transfer of the National Archives to the General Services Administration. Section 104 (c) authorized the Administrator to make surveys of Government records and records management and disposal practices and obtain reports thereon from Federal agencies; to promote, in cooperation with the executive agencies, improved records management practices and controls in such agencies, including the central storage or disposal of records not needed by such agencies for their current use; and to report to the Congress and the Director of the Bureau of the Budget from time to time the results of such activities.

The Federal Records Act of 1950 (64 Stat. 583), approved September 5, 1950, increased the responsibilities of the Administrator of General Services with respect to records management. Section 505 (a) directed that the Administrator shall make provisions for the economical and efficient management of records of Federal agencies (1) by analyzing, developing, promoting, and coordinating standards, procedures, and techniques designed to improve the management of records, to insure the maintenance and security of records deemed appropriate for preservation and to facilitate the segregation and disposal of records of temporary value and (2) by promoting the efficient and economical utilization of space, equipment, and supplies needed for the purpose of creating, maintaining, storing, and servicing records. (See Public Law 754, printed as Appendix B to this report.)

In addition to the paperwork management assistance rendered by regular employees of the Records Management Division of the National Archives, contracts have been entered into by the General Services Administration with the following firms for the phases of the work indicated:

Records Engineering, Inc.—The creation and retention of records in the Veterans' Administration.

Records Engineering, Inc.—Paperwork management in the Interstate Commerce Commission.

Robert F. Miller & Associates, Inc.—The reporting system and related records and procedures of the Bureau of Indian Affairs.

Lester B. Knight and Associates, Inc.—Paperwork activities in four insurance-type agencies: Bureau of Employees' Compensation, Retirement Division of the Civil Service Commission, Railroad Retirement Board, and the Bureau of Old-Age and Survivors' Insurance.

Leahy and Company.—Records centers maintained by the General Services Administration and the Department of Defense.

Dr. Wayne C. Grover, Archivist of the United States, when testifying before the House Appropriations subcommittee, in behalf of the appropriation for the National Archives for fiscal year 1957, explaining his request for an increase, stated:

> The $110,000, plus the $40,000 for monitoring contractual record surveys is to expand our records management program in the fields of record creation and maintenance.
>
> The Federal Records Act requires an integrated approach to the records problem. That is, taking action on all three phases of it, *creation*, maintenance, and disposition.

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Concerning one example of forms management assistance provided the Department of State by the Records Service of the National Archives, Dr. Grover said:

> We have completely revised the passport form. In fact, we examined every aspect of passport paperwork. Whereas when we started, Miss Knight had a very considerable backlog and required additional personnel—she is not now putting in any request for increased personnel.

The Director of the Records Management Division of the National Archives advised that assistance is rendered Government departments and agencies in forms management upon request, although it does not exercise general supervision over that phase of activity in the executive branch of the Government. In addition to providing forms management assistance to agencies upon request, the subject of forms management was included among the several subjects discussed at Federal Records management clinics which have been held in several cities by GSA during 1956.

To clarify the authority of the Administrator of General Services with respect to establishing standards, policies, and principles designed to improve the management of Federal records, the Senate, on July 30, 1955, passed S. 2364. The House Committee on Government Operations, to which the bill was then referred, considered it, reported favorably thereon without amendment and recommended House passage. The Senate Committee on Government Operations stated that S. 2364 would broaden and clarify the authority of the Administrator of General Services so as to remove any doubt regarding his authority for establishing procedural regulations to be followed by the various departments and agencies of the Federal Government. The General Services Administration informed the Senate Committee on Government Operations that, although such authority presently exists, the responsibility is not clearly set forth in the statute, and the proposed amendment would correct this deficiency in the law (S. Rept. No. 1183, 84th Cong.). It should be noted that this report stated that "* * * it is understood that the Bureau of the Budget has interposed no objection to its (S. 2364) enactment. The committee is informed that the proposed legislation was cleared with many of the affected agencies before it was submitted to the Congress." If S. 2364 were enacted, section 505 (a) of the Federal Records Act of 1950 would then have read as follows:

> SEC. 505. (a) The Administrator shall, *with due regard to the program activities of the agencies concerned, prescribe the policies and principles to be followed by Federal agencies in the conduct of their records management programs, and* make provisions for the economical and efficient management of records of Federal agencies (1) by analyzing, developing, promoting, and coordinating standards, procedures, and techniques designed to improve the management of records, to insure the maintenance and security of records deemed appropriate for preservation, and to facilitate the segregation and disposal of records of temporary value, and (2) by promoting the efficient and economical utilization of space, equipment, and supplies needed for the purpose of creating, maintaining, storing, and servicing records. * * *

This proposal, S. 2364, was passed over in the House each of the 10 times it was called up on the Unanimous Consent Calendar, between April 9 through July 26, 1956. In letters of objection to H. R. 6624, a bill adding the same language to section 505 (a), directed to the House committee in February and March 1956, the Department of the Navy and the Bureau of the Budget each contended that controversy would result from the enactment of such legislation.

Forms Management Responsibilities of the Bureau of the Budget

Report forms.—The Federal Reports Act of 1942 (Public Law 831 77th Cong.) and the implementing Bureau of the Budget Circular No. A–40, included in the appendix to this report, provide that each agency, with specified exemptions, must obtain the Bureau's approval for any questionnaire or other request for information to be sent to 10 or more persons. This act was designed, according to its preamble—

> to coordinate Federal reporting services, to eliminate duplication and reduce the cost of such services, and to minimize the burdens of furnishing information to Federal agencies.

Section 2 of the act states:

> It is hereby declared to be the policy of the Congress that information which may be needed by the various Federal agencies should be obtained with a minimum burden upon business enterprises (especially small business enterprises) and other persons required to furnish such information, and at a minimum cost to the Government, that all unnecessary duplication of efforts in obtaining such information through the use of reports, questionnaires, and other such methods should be eliminated as rapidly as practicable; and that information collected and tabulated by any Federal agency should insofar as is expedient be tabulated in a manner to maximize the usefulness of the information to other Federal agencies and the public.

The Budget Director was given authority to investigate, review, and collect data, etc., to assist in the successful administration of this act.

The origin of the Federal Reports Act of 1942 can be traced to a letter dated May 16, 1938, from President Roosevelt to Chairman Rice of the Central Statistical Board. Expressing concern over the number of statistical reports which Federal agencies were requiring from business, he requested a report on the statistical work of those agencies with recommendations looking toward consolidations and changes consistent with efficiency and economy both to the Government and to private industry. On January 10, 1939, he transmitted to Congress the report prepared by the Central Statistical Board in response to this letter (H. Doc. No. 27, 76th Cong., 1st sess.).

In a letter replying to Chairman Hays' inquiry as to the steps taken to implement the recommendations of the Hoover Commission, Assistant to the Director of the Budget Merriam wrote that simplification of Government reporting requirements and reduction of the reporting burden upon the public are continuing functions of the Bureau under the authority described above.

Mr. Paul F. Krueger, analytical statistician, Office of Statistical Standards, Bureau of the Budget, described to members of the subcommittee the administration of the Federal Reports Act. He referred particularly to the close cooperation and assistance received in administering the act from the Advisory Council on Federal Reports, established in 1942 and composed of private citizens representing a cross-section of American business.

In an article appraising the Federal Reports Act, published in the spring following its passage, in 3 Public Administration Review 150, the following statement appears at page 157:

> Since the review of administrative forms must necessarily be concerned with the administrative programs of which they are a part, the preparation of objective standards which operating officials can follow will be a monumental undertaking. While consideration can be given to consistency of definition, simplicity of presentation, adequacy of instructions, and the like, it may be impossible to provide adequate guides to the formulation of administrative programs.

The article closed on this hopeful note:

> The authority placed in the Budget Bureau by the Federal Reports Act will give the Division of Statistical Standards adequate opportunity to study and regulate the quantity and quality of Government questionnaires, forms, and other reporting requirements, to provide effective machinery for locating and facilitating the exchange of data, to formulate standards for the guidance of operating officials, and to develop consistent methods of review and analysis. The achievement of these objectives, even in some measure, will meet a need long and urgently felt, both by Government officials and by the public.

Standard forms.—The Bureau of the Budget, serving as the President's staff for the improvement of management and organization in the executive branch, approves standard forms except those which are required by the General Accounting Office and approved by the Comptroller General. At present, there are 212 standard forms. These forms were developed by the following Government departments and agencies:

Bureau of the Budget	78
General Services Administration	63
Civil Service Commission	42
Treasury Department	13
Budget—Treasury	8
Government Printing Office	3
Federal Civil Defense Administration	2
Labor Department	2
Federal Communications Commission	1
Total	212

A list of United States Government standard forms which have been approved by the Bureau of the Budget is included as appendix D to this report. In contrast to the 212 standard forms now in existence, there were 48 standard forms in use when a previous study was made of the subject in 1938.

Representatives of the Bureau of the Budget advised the subcommittee that work connected with standard forms receives only a small part of the time of one employee. It was also ascertained that no review of departmental or agency forms is now being made by the Bureau of the Budget for the purpose of standardizing more of these forms unless specific request for consideration of such a need is directed to the Bureau.

Advisory Council on Federal Reports

The Advisory Council on Federal Reports, created in 1942 to give advice and assistance to the Bureau of the Budget concerning provisions of the Federal Reports Act, has since that time continued to work closely with the Bureau. It is not an agency of the Government but a group of 22 businessmen, of which 2 are appointed by each of

7 sponsoring business organizations, the other 8 being elected to represent business at large. The sponsoring business organizations are:

American Chamber of Commerce Executives
Chamber of Commerce of the United States
Controllers Institute of America
National Industrial Council
National Association of Manufacturers
American Retail Federation
American Trade Association Executives

The council, originally known as the Advisory Committee on Government Questionnaires, was created as an immediate result of letters, dated October 9, 1942, from Harold D. Smith, then Director of the Bureau of the Budget, to the five original sponsoring organizations: American Trade Association Executives, American Retail Federation, Chamber of Commerce of the United States, Controllers Institute of America, and the National Association of Manufacturers. Discussions following these letters among officials of the Government and of the aforementioned organizations resulted in the formation of the parent group of the Advisory Council on Federal Reports.

The council has described its own services in its 1948–49 report as follows:

> Basically, the council renders two main types of service. The first relates to the elimination of unnecessary or meaningless questions and other revisions to existing questionnaire forms. These revisions may be the changing of a monthly survey to a quarterly, or a quarterly to an annual report. Old questions may be dropped or simplified, or at times new ones substituted. Often the language of the questions and of the accompanying instructions or letter is clarified. This type of service is readily perceived and appreciated by those in company offices upon whom fall the recurrent tasks of accumulating and filing data.
>
> A second basic service is to be found in the very existence of the council. This, in itself, is productive of benefits. The fact that a representative advisory group is at hand, and ready to function when asked, has served as a major deterrent to the issuance of unwarranted questionnaires and surveys and the circulation of inadequately considered questionnaires. There have been instances in which attempts have been made to apply pressure to the Bureau of the Budget for approval of survey projects, which projects were withdrawn by the agencies when the Bureau of the Budget proposed to consult with industry through the medium of the council. In some of these instances the survey was abandoned. In other instances the proposal was resubmitted in improved and acceptable form.

The council works with the Office of Statistical Standards of the Bureau of the Budget. In its consulting and advisory capacity to the Bureau, the council suggests ways to bring about the greatest exchange of information between the Government and business with with the least time, trouble, effort, and expense. Defects in existing methods are pointed out and analysis is made of proposed plans in order to eliminate or mitigate potential sources of trouble by anticipating them in advance.

In addition to advising the Government about business, the council also serves as an information clearinghouse to provide business with information about the Government—a point of contact between the Federal Government and the business community.

Meetings of the council, held four times each year, for the discussion of any developments relevant to its interests and to work out courses of action, are usually attended by representation from the Bureau of the Budget.

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Membership of the council is composed of businessmen who are expert in their fields, serving without compensation. Some 40 permanent advisory committees and a varying number of one-time advisory panels composed of volunteer businessmen, whose firms or trade associations are involved in the Federal reporting programs, meet to work out related problems in relation thereto.

At the present time, the council is giving increased attention to reducing the paperwork burdens imposed upon business concerns by Federal agencies, this renewed emphasis stemming from the Hoover Commission's recommendations on Government paperwork management. As a part of this aspect of its program, the council plans to go beyond its regular committee organization, inviting all business and industrial concerns to present illustrations from their own experience of what they consider to be unnecessary paperwork burdens imposed upon them by the Government. A special coordinating committee on paperwork reduction has been created by the council to supervise this program.

The yearly budget of the council, now about $40,000, is provided entirely through voluntary contributions of its sponsors, one of which, the American Trade Association Executives, annually solicits contributions from about 1,000 trade associations. The council does not receive any Federal funds. Its staff of four persons performs in a managerial, not advisory, capacity.

Eleven annual reports have been issued by the council since its inception, covering its activities. Beginning with 1956, rather than continuing to publish annual reports, the council has adopted the system of issuing quarterly reports giving summaries of activities in whatever aspects of their endeavor attention has been directed. The first of these quarterly reports is printed as appendix E of this report.

General Accounting Office Forms and Related Paperwork

The General Accounting Office, in addition to being the agency of Congress for checking on the financial transactions and administration of Government departments and agencies, also has the responsibility for assisting and cooperating with executive branch officials toward the improvement of efficiency and effectiveness of Federal operations.

As was pointed out in the hearings before the subcommittee on May 10, 1956, many changes have been made in the operation of the General Accounting Office during the past few years to simplify its own paperwork and also to effect savings in manpower and paperwork on a governmentwide basis. Many of the new techniques were promoted and ratified by Congress.

Under the old approach, the General Accounting Office was growing into a central paper mill. This was contributed to by the many fiscal requirements of the Treasury Department, the Bureau of the Budget, and the General Accounting Office, which were not always coordinated. Some of the old methods were adequate to meet the needs of our Government when the annual budget was a few billion dollars. However, beginning in 1940 when Federal defense expenditures grew into astronomical figures, the ways of the past could not keep pace with the new demands. Actually, the auditing and accounting require-

ments of the Government under the antiquated standards generated unlimited paperwork.

At that time, therefore, the General Accounting Office determined to modernize its methods and procedures and to improve the fiscal procedures in the Government as soon as possible. Concentrated efforts began immediately after the close of World War II.

The foundation was created in the Joint Accounting Improvement Program, inaugurated in 1947 by the Comptroller General, the Secretary of the Treasury, and the Director of the Budget, in collaboration with all other Government agencies. Its basic principle was the decentralization of accounting and auditing in the Government to points where operations were carried on, and the summarization of information prepared at those points for the use of the central fiscal control agencies.

Under the old audit system, all disbursing officers' accounts, with supporting vouchers, contracts, and other papers, were sent into the Washington office of the agency for administrative review, and then funneled into the General Accounting Office for audit. Today, under the new comprehensive audit approach, auditors go to the place where the records are kept by the agency. This procedure eliminates transmission of carloads of paper into Washington. Leaving the vouchers at the site of operations automatically eliminated preparing and maintaining two sets of vouchers, since the original voucher serves the needs of the department and the General Accounting Office.

The Congress cooperated in providing a legislative basis for modernizing auditing and accounting work in the Government by passing the Budget and Accounting Procedures Act of 1950, which embodied the principles of the Joint Accounting Improvement Program. It provides necessary authority for simplification of fiscal procedures and elimination of duplicating or overlapping processes. One of the first results under that act was the discontinuance of the thousands of accounts which theretofore were required to be maintained by the General Accounting Office for the entire Government. Actually, the same accounts were being maintained in the agencies and in the Treasury Department. This elimination saved the General Accounting Office $1 million in salaries and stopped the flow of millions of documents that had to be sent by the departments and agencies to the General Accounting Office for posting to the records.

Joint Regulations 1, 2, 3, and 4, issued by the Secretary of the Treasury and the Comptroller General under the 1950 act, have eliminated the need for thousands of appropriation and other types of warrants which previously were required in order to credit funds on the books of the Treasury Department and make them available for expenditure.

Another important step by the Congress which broke ground for eliminating unnecessary paperwork was the passage of the Post Office Department Financial Control Act of 1950. That act, as implemented by the Comptroller General and the Postmaster General, has brought about tremendous reductions in paperwork without sacrificing, and in fact improving, control over the Department's funds and assets.

Some significant efforts of the General Accounting Office to reduce paperwork in the Government go back as far as 1942. For example, site audits were inaugurated by the Comptroller General early in World War II to audit payments under cost-plus war contracts. It

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was found that the site audit was mutually advantageous to the Government and to the contractor. Cash savings to the contractors and to the Government are obtained through reduction of clerical expenses and by elimination of documents that were required to be submitted to Washington.

The Hoover Commission report on paperwork focused attention on the need for improvement in the paperwork processes of the Government. The General Accounting Office believes that primary reliance for improvement must be placed in day-to-day management. There is no dramatic one-shot remedy for eliminating redtape and wasteful practices. It is only brought about by constant and daily vigilance of responsible officials.

The prescribing function of the Comptroller General is now carried out largely in terms of principles and standards because of the responsibility placed upon the head of the agency under the Budget and Accounting Procedures Act of 1950. However, that act provides that the Comptroller General shall, to the extent he deems necessary, continue to exercise the authority to prescribe forms, systems, and procedure for administrative appropriation and fund accounting. It should be pointed out that both the Senate and House Committees on Government Operations, in favorably reporting the 1950 legislation, made it clear that the accounting responsibility of the Comptroller General in this respect is in accordance with the long-established policy of Congress of retaining legislative control over public financial transactions "that must be held inviolate."

The concept under which the Comptroller General operates is to exercise his prescribing authority on a fully cooperative basis and to assist the agencies in developing their accounting systems and procedures, including the related accounting forms. The prescribing responsibilities of the Comptroller General often affect contractors and others having business with the Government. In such cases the General Accounting Office consults with their representatives to determine that the impact of its requirements are as simple and practicable as possible and yet serve the best interests of the Government.

In the past decade, the General Accounting Office has been engaged in a continuous program, in cooperation with the departments and agencies, of eliminating redtape and unnecessary paperwork in the Government. Practically every day finds new methods adopted which increase efficiency and economy of operation. If all these instances were recorded in one place, the American taxpayer would be impressed and gratified by the amount of the savings involving millions of dollars.

In order that the Congress and its committees, in carrying out its vital management responsibility for the operations of the executive branch, be kept posted on the governmentwide progress under the Joint Accounting Improvement Program, a report has been prepared each year since 1949 illustrating concrete accomplishments and the cumulative effect of this dynamic program. The report is prepared by the staffs of the Bureau of the Budget, the Treasury Department, and the General Accounting Office. The Seventh Annual Progress Report was transmitted to the Congress in March 1956. Each of the reports contains illustrations of significant developments in the elimination of paperwork and savings achieved in adopting better business methods throughout the Government.

EXAMPLES OF PAPERWORK REDUCTION

Many illustrations could be cited to give some indication of the kind of savings in paperwork which have been accomplished. The forward progress that these illustrations demonstrate are the result of the cooperative approach which the General Accounting Office employs to encourage and stimulate agencies to take the initiative to work out internal improvements. One advantage of this approach is that frequently participation on the part of an individual agency brings suggestions that can be adopted on a govermentwide basis. A few of the noteworthy examples of savings in paperwork are illustrated by the following examples:

1. The procedures for deposit of collections and making funds available for disbursement were greatly simplified by the issuance of Treasury-General Accounting Office Joint Regulations 1, 2, and 3. For 1 repayment to an appropriation, 26 steps, 60 pieces of paper, and 106 recordations were eliminated under the procedure provided by joint regulation No. 1; for each requisition for disbursing funds from a general fund appropriation, 8 steps, 11 pieces of paper, and 30 recordations were eliminated by joint regulation No. 2; and in the case of available special and trust fund receipts, 33 steps, 72 pieces of paper, and 136 recordations were eliminated, and the number of governmental units involved and days required to process were reduced from 10 to 4 units and 30 to 2 days, respectively, by joint regulation No. 3.

Joint regulation No. 4 discontinued accountable warrants (25,000 a year) and covering warrants (30,000 a year) pursuant to authority of section 115 of the Budget and Accounting Procedures Act of 1950.

2. In all agencies where administrative examination of accounts has been decentralized and onsite audit procedures have been installed material savings have resulted through the use of the voucher and schedule of payments and elimination of the preparation of public vouchers where properly certified invoices are received from vendors—for example, in General Services Administration preparation of 200,000 vouchers eliminated; Agriculture over 1 million vouchers eliminated; Interior over 1 million vouchers eliminated; for the whole Government approximately 25 million vouchers annually. In addition, where the GAO makes a site audit the necessity for making and retaining copies of vouchers and their supporting documents is eliminated since the original document is retained in the agency as long as needed. Further, none of the millions of vouchers are sent to the disbursing officer as under previous procedures. Under revised procedures, only the schedule, which is a simple listing showing name and address of payee and amount to be paid is sent to the disbursing office. Also, the duplicate handling of these millions of vouchers by the disbursing officer and the administrative office in Washington is eliminated.

3. Forms and procedure were approved for use in various agencies whereby certain lessors are no longer required to submit monthly bills covering rental charges. In lieu of this requirement, agencies use a single listing form on which appears the names of lessors and the monthly rental due each. This single form is used by the disbursing officer for the issuance of checks in favor of the payees indicated on the form. As a result of the new procedure, over 450,000 vouchers annually are eliminated.

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4. The Comptroller General provided in General Regulations No. 51, supplement No. 15, dated July 31, 1952, that (1) contracts need not be executed, nor deposited with the General Accounting Office, by Government departments or agencies, except when administratively deemed necessary to properly protect the interests of the Government, when there is a continuing need for supplies and other services, regardless of the number of payments involved, and when it is contemplated that the amount involved in any one case will not exceed the open market limitation within the fiscal year; (2) contracts need not be executed by Government departments or agencies for public utility services, regardless of the amount or the number of payments to be made, when the utility company's rates are fixed or adjusted by Federal, State, or other regulatory body, except when deemed to be in the best interests of the Government to do so. Approximately 650,000 contracts of these types were formerly entered into and filed in the General Accounting Office.

5. A new punchcard form of transportation request for use on and after July 1, 1955, representing an annual savings in printing costs of $150,000 a year, provides both rail and pullman accommodations by issuance of a single request.

6. Further progress in the program to convert 32 million remaining paper checks to punched card checks, begun 3 years ago, resulted in additional annual savings of $150,000 in payment and reconciliation operations in Treasury and General Accounting Office. This brings recurring savings under this program up to $500,000 annually.

7. The documentation required to support postmasters' accounts has been drastically reduced without any loss in establishing accountability. The paperwork is reduced at least 75 percent. By way of illustration, 66 pounds of documents required to support one account for a quarter in the Boston Post Office has been reduced to less than a pound, about 14 ounces, of comprehensive material.

8. New punchcard money order replaced paper money order and a punchcard formerly used in auditing procedures resulting in saving of over 300 million forms—listings of issued money orders and paid money orders, formerly prepared on a manual basis by first-class postmasters have been eliminated, saving over 1 million legal-sized sheets on which money orders were listed at 300 items to sheet.

9. In the Veterans' Administration the "Designation of beneficiary" and "Selection of optional settlement" forms have been combined into one form with its resultant simplification of procedures. In addition, the executed form is photocopied and sent to the insured, thus eliminating the preparation of approximately 300,000 form letters per year. Considerable work was done in the area of revising forms and related procedures for beneficiary and beneficiary attendant travel. This resulted in discontinuance of 2 forms, consolidation of 2 others, and revision of still 2 other forms. As a result of these changes, many administrative processes were eliminated in medical and finance. It is estimated that this action will result in the elimination of approximately 125,000 documents per year.

10. The practice of routing a copy of an authorization for payment of suspense or other credits due estates of deceased veterans, after approval, to the central office has been discontinued. All instruction forms used by the Addressograph Unit as authority to establish, change, or destroy addressograph plates are destroyed, rather than

being filed in the insurance folders. It is estimated that this has eliminated the filing of approximately 1,400,000 documents per year.

11. A payee's index file, comprised of cards for every VA beneficiary receiving an award or authorization for benefits totaling around 17 million cards, maintained in the Veterans' Benefits Office by approximately 23 full-time employees was discontinued. This action resulted in substantial savings in personnel, equipment, and related cost. The information previously contained in the discontinued file is available in the master index and locator files.

12. The Department of the Army and the General Accounting Office agreed that the Army would have complete access to original vouchers in possession of the General Accounting Office and filed at the Army Audit Branch. As a result, the Army was able to eliminate its duplicate set of files comprising 25 million vouchers and occupying 40,000 square feet of storage space.

13. The military departments have adopted new procedures with respect to payments to allottees such as the American Red Cross for repayments of servicemen's loans and private insurance companies for servicemen's insurance. The new procedures will result in payments to such allottees on a monthly consolidated basis with a single check and a listing of allotters replacing the former individual checks for each allotter and allottee. Departmental estimates reveal an annual saving in checks issued aggregating 5 million; 1,140,000 in Navy, 2,600,000 in Army, and 1,400,000 in Air Force. In addition, further savings will be realized by the allottees, banks, and the Treasury Department in processing the checks and in the General Accounting Office in reconciliation of accounts.

14. As a result of integrating the disbursing and accounting operations of the Railroad Retirement Board, in connection with payment of retirement benefits, there were eliminated 250,000 documents prepared by typewriter, 10,000 documents prepared manually and in substitution therefor, 85,000 documents prepared by high-speed mechanical process. In addition, 275,000 punchcards and 1 million copies of documents were eliminated. The filing, withdrawal, and refiling of 2 million copies of documents formerly transferred back and forth between Treasury Department and the Railroad Retirement Board were discontinued.

Standard accounting forms.—The Comptroller General has prescribed 178 standard accounting forms for use by Government departments and agencies, a list of which is included in the appendix to this report. In contrast to the 178 standard accounting forms now in existence, there were 119 in use when the previous study on this subject was made in 1938.

An increasing number of standard accounting forms require specialized manufacture such as marginal punching in order to satisfy the needs of different types of accounting machines. The General Accounting Office must approve any change from standard cut sheet accounting forms to the specialty variety of which the marginally punched kind is an example.

Determination as to what type of accounting machines should be used, if any, is a decision to be made by each individual agency because the General Accounting Office does not desire to appear to favor one manufacturer over another. Surveys made by the General Accounting Office of the uses to which various machines may be put are avail-

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able to all agencies. A small GAO staff is working at the Bureau of Standards and with other agencies to investigate the possibilities of electronic accounting.

Although representatives of the General Services Administration and the General Accounting Office work together on teams to make surveys of property accounting systems in all Federal agencies, the "forms management" assistance heretofore described, provided by the GSA does not extend into the field of accounting systems.

The term "forms management," commonly used in many departments and agencies, although not so labeled, is an integral part of the accounting systems work of the General Accounting Office. The GAO cooperates extensively with private industry to obtain leads which would contribute to paperwork reduction.

Press Release on Paperwork Issued by the White House, May 21, 1956

"THE WHITE HOUSE

"The President, in a letter to the Director of the Bureau of the Budget, has called for a stepped-up campaign to eliminate Government reporting requirements which impose unnecessary paperwork on the public and industry.

"The President's letter endorsed a Hoover Commission recommendation that 'increased emphasis' be given to protecting the public from excessive reporting burdens. The President also expressed gratification at 'substantial progress already made' in this area by the Budget Bureau and its Advisory Council on Federal Reports.

"The Budget Bureau has made a vigorous effort to cut the paperwork required in the Government's official business with the public, in keeping with instructions issued by President Eisenhower at the outset of his administration. This is in line with the Bureau's broad responsibility for coordination and improvement of Government statistics and for promotion of better business management throughout the executive branch. The Federal Reports Act of 1942 gave the Bureau the specific function of reviewing and approving the public-use forms of all Federal executive agencies excepting the Internal Revenue Service, the Comptroller of the Currency, Bureau of Public Debt, Bureau of Accounts and Division of Foreign Funds Control in the Treasury Department, and bank supervisory agencies.

"In carrying out its responsibilities under the Federal Reports Act, the Bureau of the Budget has the help of the Advisory Council on Federal Reports composed of representatives of seven national business organizations. The Advisory Council applies its collective experience through specialized committees in recommending the elimination or consolidation of reports, changing the frequency of reporting, eliminating ambiguities in questions, and otherwise simplifying and standardizing requirements. Sponsors of the council since 1943 are:

American Chamber of Commerce Executives
American Retail Federation
American Trade Association Executives
Chamber of Commerce of the United States
Controllers Institute of America
National Association of Manufacturers
National Industrial Council

"Typical improvements during the past 2 years in the Government's reporting and recordkeeping procedures which have brought substantial savings in time and money to the public generally and cut clerical costs, filing requirements, and warehouse needs of Government follow:

"(1) As part of an examination still underway all of the public-use forms promulgated by the State offices of the Selective Service System have been reviewed. In this project, some 60 different forms used to determine dependency status were consolidated into a single form; forms used by physicians to report on medical conditions, and those used by employers to report on occupational deferments were greatly simplified.

"(2) Small business establishments were particularly benefited when final plans were made for the last Census of Business. More than 1 million small shopkeepers, those having no paid employees, were relieved from having to file a report to the Bureau of the Census. As a substitute, arrangements were made for the transcription of the required information by the Internal Revenue Service to the Census Bureau.

"(3) Cooperative arrangements have been made between Federal agencies and trade associations for the use of identical forms, as in the case of the Rubber Manufacturers Association; or for the use by the Government of trade association statistics, as in the case of Bureau of Mines' requirements for data on aluminum.

"(4) Passport application forms and procedures have been revised and simplified by the Passport Division of the State Department; report forms used by regulatory agencies such as Federal Power Commission, Federal Communications Commission, and Civil Aeronautics Board have been simplified and revised.

"(5) Substantial savings to industry resulted from revisions in the forms used by the Department of Defense in its industrial security program. One industrial company estimated that the savings to it alone were approximately $75,000. Many other forms used by the Department of Defense and its services, particularly those used in connection with procurement, have also undergone material revision.

"The President's letter to the Budget Director follows:

"DEAR MR. BRUNDAGE: The recent report of the Commission on Organization of the Executive Branch of the Government entitled 'Paperwork Management, Part II, the Nation's Paperwork for the Government' directs attention to the problem of Government requirements which impose unnecessary paperwork on the public. The report recommends:

"'That the President direct the Bureau of the Budget, together with its Advisory Council on Federal Reports and in cooperation with the General Services Administration, to give increased emphasis in their reports program to the need to protect the public from unnecessary reporting burdens by continuing the method of cooperation between industry and Government pursued by our task force as outlined above.'

"I endorse the Commission's recommendation that increased emphasis be placed on actions to reduce unnecessary reporting burdens on industry and the public. In recognition of the responsibilities for the improvement of Government statistical activities and for the promotion of economy and efficiency in executive branch operations already assigned to the Bureau of the Budget, I believe the Bureau is the logical agency to assume leadership in such activities. A significant portion of the paperwork required of the public is associated with Government forms and

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related reporting requirements which require your approval under the Federal Reports Act, and I am gratified at the substantial progress already made in this program by the Bureau and its Advisory Council on Federal Reports.

"I wish you to give increased emphasis in this program to the elimination of reporting requirements which impose unnecessary paperwork on the public. With respect to matters not subject to review under the Federal Reports Act, I want you to proceed with the development, in cooperation with the affected executive agencies, of plans for eliminating unnecessary public reporting requirements and for simplifying related procedures and systems in such agencies.

"In carrying out this program I assume that you will make maximum use of the advisory services of the Advisory Council on Federal Reports and its various specialized committees. You will also wish to consult freely with the affected Federal agencies and, when appropriate, with the General Services Administration. You are authorized and directed to issue such circulars or other instructions as you may find useful in carrying out this assignment.

"I should like to receive from you by September 30, 1956, a report of your progress together with any recommendations you may have as to further steps required for the effective control of the paperwork burden on the public.

"Increased efforts to reduce the reporting burden on the public together with actions being taken by the General Services Administration and other executive agencies aimed at solution of paperwork problems within the Government, will go far toward attaining the desirable objectives of the Hoover Commission's recommendations for improvement of paperwork management. They form a logical and valuable part of the broader responsibility and program of the Bureau of the Budget to bring about better internal business management throughout the executive branch.

"Sincerely,

DWIGHT D. EISENHOWER."

CONCLUSIONS

The Hoover Commission Task Force Report on Paperwork Management, part I, pointed out that the principal results of the Federal Records Act of 1950 came from the storage and disposal of Government records. Undoubtedly, the term "records management" has been generally interpreted to cover only the area of records rather than the broad scope which was apparently intended by the act. As the task force pointed out, many persons misinterpret the term "records management" to mean the movement of records to storage and eventual disposal, with some emphasis on filing. This has definitely contributed to restricted results from the Federal Records Act of 1950.

The task force also pointed out that the organizational location of the Records Management Division of the National Archives and Records Service, under the Archivist of the United States, leaves a connotation of noncurrent and historical records and office operation. Both the Archivist and the Director of the Records Management Division of the National Archives advised the subcommittee that they did not agree with the task force recommendation: "That a new and distinct Paperwork Management Service is needed within the General Services Administration." They were of the opinion that to divide any of the phases of records management or paperwork management, leaving only the retention and disposition phases with the National Archives would create an opportunity for friction between the two services. Inasmuch as the subcommittee could not obtain a copy of the draft of the proposed Executive order mentioned in the Hoover Commission Report which was the recommended means for improving paperwork management in the Government, no evaluation could be made of the benefits to be derived therefrom.

The assistance which is currently being extended to departments and agencies in the field of "forms management" by the GSA stems from the need to check the flow of records which overwhelmed the storage and disposition facilities of the National Archives. Since the National Archives was organized, in 1935, its interest in records has moved from the records-disposition phase to the current files-maintenance phase to the records-creation phase, involving "forms management." In connection with the most recent phase entered into by the Records Service of the National Archives, it regards its existing authority as primarily that of providing assistance and advice to the agencies in what constitutes good practices in the various techniques that exist to control the creation of records.

In view of the existing responsibility of the Bureau of the Budget for the administration of the Federal Reports Act, and because the Bureau of the Budget necessarily approves United States Government standard forms, it would appear to be a proper function for the Bureau to also exercise the leadership, coordination, and agency appraisal needed to supplement the efforts of the General Services Administration to contribute to further reduction of Government paperwork by promoting forms management in the executive branch of the Government. These efforts could advantageously accomplish an overall reduction in the number of departmental and agency forms by the establishment of more United States Government

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standard forms. The report on the "standard form" program of the Bureau of the Budget which was mentioned under recommendation No. 2 of the Hoover Commission Report, part I, was never issued.

The noteworthy results obtained by the Records Management functions of the National Archives have contributed much to overall reduction in the volume of Government paperwork by promoting improved records management and disposal practices. The additional efforts of GSA in lending assistance to departments and agencies in the fields of correspondence management and forms management, under the broadly interpreted authority of section 505 of the Federal Records Act, have also contributed to some reduction of Government paperwork. It is apparent, however, that the extent to which GSA can contribute to the additional Government paperwork reduction by this form of assistance is limited. Constant and daily vigilance of responsible agency officials, assisted by an adequate forms management staff can further reduce Government paperwork. It would appear that the Bureau of the Budget, in the exercise of its management-improvement responsibility, could do much to further reduce Government paperwork by the exercise of management-improvement responsibilities set forth by Executive Order No. 10072 dated July 29, 1949.

The Hoover Commission Report on Paperwork Management, part II, focused attention on the question, "What agency will be the catalyst through which the executive agencies and industrial committees can carry on the work of the task force and make further savings?" The Hoover Commission task force recommended that the Congress establish a commission to report to it and to the President on this question. The Commission stated that it did not recommend imposing any additional burdens on the President and cited the existing related responsibilities of the Bureau of the Budget and the General Services Administration which are already provided for by law. The belief was expressed that substantial results could be achieved by these agencies.

The Federal Reports Act of 1942 and the implementing Bureau of the Budget Circular No. A–40 clearly set forth the responsibilities of the Bureau of the Budget and other executive departments and establishments so as to minimize the reporting burden placed upon business enterprises and other persons required to furnish information to the Government. It is apparent that further mutual benefit could be obtained by the Government and additional reporting groups if the Bureau of the Budget had greater knowledge of the respondents' ability to provide the information required by the Government without creating unjustified paperwork burdens. Such information would supplement the assistance now being provided by the Advisory Council on Federal Reports.

The importance of paperwork management generally, including forms management as relates to reporting burdens on industry and the public, was sufficient to warrant the issuance of a letter by the President addressed to the Director of the Bureau of the Budget which was released by the White House on May 21, 1956. The President endorsed the recommendation set forth in part II of the Hoover Commission Report and requested the Director of the Bureau of the Budget to submit, by September 30, 1956, a progress report together with any recommendations for more effective control of the paperwork burden on the public.

APPENDIXES

APPENDIX A

EXECUTIVE OFFICE OF THE PRESIDENT,
BUREAU OF THE BUDGET,
Washington, D. C., October 24, 1951.

Circular No. A–40
(Formerly Regulation A)
Revised

To: The Heads of executive departments and establishments.
Subject: Clearance of plans and report forms under the Federal Reports Act.

This revision of Circular No. A–40 replaces and rescinds Circular No. A–40, dated October 25, 1948, and regulation A, originally issued on February 13, 1943. The Federal Reports Act of 1942 expressly applies to the collection of information not only when a Federal agency *conducts* the collecting but also when it sponsors the collecting (5 U. S. Code 139c). A new paragraph, 3b, has been added to the circular to define the clearance responsibility assumed by the sponsoring agency whenever collection of information is undertaken as the result of Federal agency sponsorship. Changes have been made in the definition of the term "plan" (2e) and in the definition of "use" of a plan or report form (2k) to clarify application of this Circular to information obtained under Federal agency sponsorship. The definition of the term "respondent" (2j) has been revised to make explicit the inclusion of persons or organizations outside the United States.

1. *Authority.* This Circular is promulgated under the authority of sections 3(d), 5, and 6 of the Federal Reports Act of 1942, in order to provide for the review and clearance of plans and report forms used by Federal agencies in the collection of information.

2. *Definitions.*

a. The term "Act" shall mean the Federal Reports Act of 1942. Section 5 of the Act reads as follows:

"No Federal agency shall conduct or sponsor the collection of information upon identical items, from ten or more persons (other than Federal employees considered as such) unless, in advance of adoption or revision of any plans or forms to be used in such collection,

"(a) The agency shall have submitted to the Director such plans or forms, together with copies of such pertinent regulations and other related materials as the Director shall specify; and

"(b) The Director shall have stated that he does not disapprove the proposed collection of information."

b. The term "Federal agency" shall mean any executive department, commission, independent establishment, corporation owned or controlled by the United States, board, bureau, division, service, office, authority, or administration in the executive branch of the Government, *provided*, that it does not include the government of the District of Columbia or of any territory or possession of the United States, or any subdivision of such a government; the General Accounting Office; the Bureau of Internal Revenue, the Comptroller of the Currency, the Bureau of the Public Debt, the Bureau of Accounts, or the Division of Foreign Funds Control of the Treasury Department; or any Federal bank supervisory agency to the extent that such agency obtains reports and information from banks as provided or authorized by law and in the proper performance of its supervisory functions.

c. The term "Director" shall mean the Director of the Bureau of the Budget. The term "Assistant Director" shall mean the Assistant Director of the Bureau of the Budget for Statistical Standards or his designated representative.

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d. The term "report form" shall mean or include any application form or other administrative report form, questionnaire, telegraphic request, or other similar device for the collection of information.

e. The term "plan" shall mean or include:

(1) Any general or specific requirement for the establishment or maintenance of records (including systems of accounts and systems of classification) which are to be used or be available for use in the collection of information.

(2) Any requirement or instruction affecting the content, preparation, return, or use of a plan or report form.

(3) Any contract or agreement which will result in the collection of information on identical items by or for the contractor from ten or more respondents.

f. The term "requirement" shall be deemed to include a recommendation, order, regulation, or other directive, but shall not apply to a general directive (in an order or regulation) which imposes a general duty to maintain such records or submit such reports as may thereafter or otherwise be specifically prescribed by appropriate authority. Such general directives shall, however, state that specific recording or reporting requirements subsequently prescribed will be "subject to the approval of the Bureau of the Budget pursuant to the Federal Reports Act of 1942."

g. The term "information" shall mean facts or opinions obtained or made available by the use of a plan or report form.

h. "Clearance" of a plan or report form shall mean and include (1) a determination that the information to be sought or provided thereby is reasonably needed by the Federal agency concerned, in the proper performance of its functions or otherwise, and (2) authorization to use the plan or report form in the collection or recording of such information in the manner proposed, or on such other conditions as the Assistant Director may prescribe, with an approval number, notation, or other appropriate device inscribed or endorsed thereon to indicate clearance, as herein prescribed. Such clearance shall constitute a declaration by the Director, in accordance with section 5 of the Act, that he does not disapprove the collection of information in the manner proposed. A withholding of clearance shall constitute among other things a determination in pursuance of section 3 (d) of the Act that the collection of information in the manner proposed is unnecessary.

i. The term "person" shall mean any individual, partnership, association, corporation, business trust, or legal representative, any organized group of persons, any State or territorial government or branch thereof, any political subdivision of any State or territory, or any branch of any such political subdivision.

j. The term "respondent" shall mean any person or any agency or employee or instrumentality of the Federal Government, from which information is obtained or requested on a plan or report form. The term applies irrespective of whether the individual or organization is located within or outside the United States.

k. Any plan or report form shall be deemed to be "used" by an agency when its use is wholly or partly sponsored, controlled, or contracted for by the agency. Among the types of sponsorship which are covered are situations in which the plan or report form is developed or put into use at the request of, order of, by virtue of a research grant from, or under contract with, a Federal agency. A Federal agency shall be regarded equally as sponsor with regard to work done by contractors and with regard to work done by subcontractors.

l. "Unnecessary duplication" shall be deemed to exist in the collection of information if the duplicating activities involve either identical information or information adequately similar for satisfactory use.

3. *Clearance requirements.*

a. *General requirements of clearance.* No plan or report form (as herein limited or described) shall be used or prescribed by a Federal agency in the collection or recording of information without first obtaining clearance thereof from the Assistant Director and inscribing or endorsing thereon, to indicate such clearance, an approval number, notation, or other appropriate device, as herein prescribed. Sections 3, 4, 5 and 6 of this Circular shall apply only to (1) plans and report forms which require or call for information of an identical nature (or the recording thereof) from ten or more persons other

than Federal employees considered as such, and (2) report forms which call for information of an identical nature from agencies, employees, or instrumentalities of the Federal Government, which is to be used for statistical compilations of general public interest, including compilations showing the status or implementation of Federal activities and programs.

b. *Responsibility of agency sponsoring collections of information.* Whenever a Federal agency sponsors the use of a plan or report form by research grantees, contractors, and other sponsored collectors of information, including sponsoring a request for data to be obtained by others, it shall be the agency's duty—

To inform the sponsored collector of information of the requirements of this Circular;

(2) To insure that the submittal required by section 4a of this Circular is made; and

(3) To insure that the plan or report form is not used without clearance.

c. *Evidence of clearance for report forms.* Clearance of a report form shall be evidenced or indicated by printing or inscribing on each copy so used, in the upper right-hand corner of the first page, an approval number assigned to it by the Assistant Director, in the following manner:

(1) When no time limit is assigned to the use of the report form, the following style shall be employed:

Form Approved
Budget Bureau No. 00–R00

(2) When a time limit is assigned to the use of the report form, the following style shall be employed, unless the Assistant Director specifies otherwise:

Budget Bureau No. 00–R00
Approval Expires (date)

d. *Evidence of clearance for plans.* Clearance of plans for use in the collection or recording of information shall be evidenced by printing or inscribing on each plan so used one of the following endorsements or such other device as may be required by the Assistant Director:

(1) "The * * * (record-keeping, reporting, or other requirements) of this * * * (regulation or the like) have been approved by the Bureau of the Budget in accordance with the Federal Reports Act of 1942."

(2) "This * * * (record-keeping, reporting, or other requirement) has been approved by the Bureau of the Budget in accordance with the Federal Reports Act of 1942."

e. *Termination of clearance and use.* No plan or report form subject to section 3a shall be used after its expiration date without resubmittal and further clearance prior thereto. Moreover, clearance of any plan or report form subject to section 3a may be withdrawn by the Assistant Director, in which event the use of the plan or report form shall be discontinued at that time.

4. *Request for clearance for new plans and report forms.*

a. *Submittal for clearance.* In order to obtain review and clearance, the agency shall submit two copies of the plan or report form to the Assistant Director in time to allow for adequate review and the adoption of any necessary alterations (including coordination or integration with other plans and report forms) without delaying the operating program to which the plan or report form relates. Such submittal shall be accompanied by Standard Form No. 83, appropriately filled out, and such other data as the Assistant Director shall require. Ordinarily, the submittal will not need to be accompanied by a letter, as Standard Form No. 83 is itself a request for clearance. A copy of Standard Form No. 83 is attached to this Circular, and a supply of this form for agency use may be purchased from the Government Printing Office.

b. *Other material to be submitted.* In addition to the foregoing, there shall be submitted for examination or clearance such other material pertaining to the collection, processing, tabulation, analysis, or publication of information as may from time to time be required by the Assistant Director.

c. *Consideration of practical utility.* To minimize the reporting burden on respondents, especially individuals and small business enterprises, and to improve governmental efficiency, each Federal agency shall consider and determine, in connection with each plan or report form submitted, whether the proposed plan or report form exceeds the limits of reasonable need or

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practical utility, either with respect to number of respondents, frequency of collection, number and difficulty of the items, or otherwise, and whether all of the items of information to be furnished or recorded are essential to the central purpose of such plan or report form. Clearance of plans and report forms submitted will be withheld whenever it appears to the Assistant Director that this requirement has not been met.

5. *Request for clearance for revised plans and report forms.* Before a material revision or change shall be made in a plan or report form for which clearance is required, or in the use thereof, further clearance shall be obtained from the Bureau of the Budget in the manner prescribed in this Circular, by submitting pertinent data or explanation in relation thereto on Standard Form No. 83. A material revision or change in a plan or report form or the use thereof, necessitating further clearance, shall mean or include any significant revision in (1) the kind or amount of information sought, (2) the number or identity of respondents, or (3) the time or frequency of reporting. It shall also include a transfer of the duty or function of collecting, processing, or tabulating the information, either into, or out of, or within a Federal agency.

6. *Request for extension of clearance.* If use of a plan or report form beyond a scheduled expiration date is desired, without material revision or change, the request for an extension of clearance shall be made on Standard Form No. 83, or by letter, or as otherwise determined by the Assistant Director.

7. *Use of exempt forms.*

a. *Granting of exemptions.* Exemption from clearance may be granted by the Assistant Director with respect to affidavits, oaths, certifications, and other plans and report forms which do not call for information of substantial volume or importance.

b. *Advisory review.* Any form or reporting requirement for which clearance is not required by this Circular may be submitted to the Assistant Director for advisory review and, when desired, assignment of an approval number or other clearance device, as described in section 3, in order to facilitate the use thereof. This provision refers to:

(1) Plans and report forms used by an agency that is not subject to this Circular, and those which are used in the collection (or recording) of information from fewer than ten persons or in other circumstances not covered by section 3a.

(2) Forms and reporting requirements other than those herein defined as report forms and plans.

c. *Notation on exempt forms.* In order otherwise to facilitate compliance with forms and reporting requirements for which clearance is not required by this Circular and has not been obtained under the preceding paragraph, or with respect to which exemption may have been granted by the Assistant Director, and otherwise to minimize uncertainty and misunderstanding in connection with the use thereof, the following notation may be used thereon by the agency concerned, preferably in the upper right-hand corner of the first page, saying "Approval of Budget Bureau not required".

d. *Termination of exemption.* The use of the foregoing notation shall be discontinued, and an approval number or other appropriate clearance device shall be required in its place, whenever it shall be determined by the Assistant Director (in the absence of an authoritative ruling to the contrary) that the plan, report form, or other request for data is within the purview of section 3a of this Circular.

8. *Deviation from terms of clearance.* No deviation shall be made in the use of any plan or report form, or any clearance device, from the terms and conditions on which clearance shall have been granted hereunder.

9. *Notice of discontinuance.* Whenever the use of a plan or report form to which an approval number has been assigned is discontinued, except by expiration of a time limit fixed in pursuance of section 3c, the Assistant Director shall be notified by the responsible agency.

10. *Records and reports.* Each Federal agency shall afford the Assistant Director access to its records concerning the status and use of each plan or report form, and shall make such improvements in the records and such reports therefrom as the Assistant Director shall prescribe.

11. *Exercise of authority.*

a. *Delegation of Director's authority.* The authority conferred by the Act on the Director may be exercised by the Assistant Director to the extent necessary or appropriate for the performance of any function or duty prescribed by this Circular.

b. *Determination of scope.* The determination of the Assistant Director as to whether any plan, report form, activity, or other matter is within the scope of the Act or this Circular shall be controlling.

c. *Waivers.* Any provision of this Circular may be waived in writing by the Assistant Director.

12. *Relation to existing authority.* This Circular shall not be deemed to limit or preclude exercise of the authority vested in the Bureau of the Budget by Executive Order 8248, Executive Order 10033, Executive Order 10253, or otherwise, to plan and promote the improvement, development, and coordination of Federal and other statistical services. The provisions of Budget Circular No. A–2 shall not apply to the collection, processing, analysis, or publication of information as herein defined.

FREDERICK J. LAWTON, *Director.*

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Appendix B

[Public Law 754—81st Congress]

[Chapter 849—2d Session]

[S. 3959]

AN ACT To amend the Federal Property and Administrative Services Act of 1949, and for other purposes.

* * * * * * *

"TITLE V—FEDERAL RECORDS

"SHORT TITLE

"Sec. 501. This title may be cited as the 'Federal Records Act of 1950'.

"CUSTODY AND CONTROL OF PROPERTY

"Sec. 502. The Administrator shall have immediate custody and control of the National Archives Building and its contents, and shall have authority to design, construct, purchase, lease, maintain, operate, protect, and improve buildings used bp him for the storage of records of Federal agencies in the District of Columbia and elsewhere,

"NATIONAL HISTORICAL PUBLICATIONS COMMISSION

"Sec. 503. (a) There is hereby created a National Historical Publications Commission consisting of the Archivist (or an alternate designated by him), who shall be Chairman; the Librarian of Congress (or an alternate designated by him); one Member of the United States Senate to be appointed, for a term of four years, by the President of the Senate; one Member of the House of Representatives to be appointed, for a term of two years, by the Speaker of the House of Representatives; one representative of the judicial branch of the Government to be appointed, for a term of four years, by the Chief Justice of the United States; one representative of the Department of State to be appointed, for a term of four years, by the Secretary of State; one representative of the Department of Defense to be appointed, for a term of four years, by the Secretary of Defense; two members of the American Historical Association to be appointed by the council of the said association, one of whom shall serve an initial term of two years and the other an initial term of three years, but their successors shall be appointed for terms of four years; and two other members outstanding in the fields of the social or physical sciences to be appointed by the President of the United States, one of whom shall serve an initial term of one year and the other an initial term of three years, but their successors shall be appointed for terms of four years. The Commission shall meet annually and on call of the Chairman.

"(b) Any person appointed to fill a vacancy in the membership of the Commission shall be appointed only for the unexpired terms of the member whom he shall succeed, and his appointment shall be made in the same manner in which the appointment of his predecessor was made.

"(c) The Commission is authorized to appoint, without reference to the Classification Act of 1949 (Public Law 429, 81st Congress, approved October 28, 1949), an executive director and such editorial and clerical staff as the Commission may determine to be necessary. Members of the Commission who represent any branch or agency of the Government shall serve as members of the Commission without additional compensation. All members of the Commission shall be reimbursed for transportation expenses incurred in attending meetings of the Commission, and all such members other than those who represent any branch or agency of the Government of the United States shall receive in lieu of subsistence en route to or from or at the place of such service, for each day actually spent in connection with the performance of their duties as members of such Commission, such sum, not to exceed $25, as the Commission shall prescribe.

"(d) The Commission shall make plans, estimates, and recommendations for such historical works and collections of sources as it deems appropriate for printing or otherwise recording at the public expense. The Commission shall also cooperate with and encourage appropriate Federal, State, and local agencies and nongovernmental institutions, societies, and individuals in collecting and preserving and, when it deems such action to be desirable, in editing and publishing the papers of outstanding citizens of the United States and such other documents as may be important for an understanding and appreciation of the history of the United States. The Chairman of the Commission shall transmit to the Administrator from time to time, and at least once annually, such plans, estimates, and recommendations as have been approved by the Commission.

"FEDERAL RECORDS COUNCIL

"SEC. 504. The Administrator shall establish a Federal Records Council, and shall advise and consult with the Council with a view to obtaining its advice and assistance in carrying out the purposes of this title. The Council shall include representatives of the legislative, judicial, and executive branches of the Government in such number as the Administrator shall determine, but such Council shall include at least four representatives of the legislative branch, at least two representatives of the judicial branch, and at least six representatives of the executive branch. Members of the Council representing the legislative branch shall be designated, in equal number, by the President of the Senate and the Speaker of the House of Representatives, respectively. Members of the Council representing the judicial branch shall be designated by the Chief Justice of the United States. The Administrator is authorized to designate from persons named by the head of any executive agency concerned, not more than one representative from such agency to serve as a member of the Council. Members of the Council shall serve without compensation, but shall be reimbursed for all necessary expenses actually incurred in the performance of their duties as members of the Council. The Council shall elect a chairman from among its own membership, and shall meet at least once annually.

"RECORDS MANAGEMENT; THE ADMINISTRATOR

"SEC. 505. (a) The Administrator shall make provisions for the economical and efficient management of records of Federal agencies (1) by analyzing, developing, promoting, and coordinating standards, procedures, and techniques designed to improve the management of records, to insure the maintenance and security of records deemed appropriate for preservation, and to facilitate the segregation and disposal of records of temporary value, and (2) by promoting the efficient and economical utilization of space, equipment, and supplies needed for the purpose of creating maintaining, storing, and servicing records.

"(b) The Administrator shall establish standards for the selective retention of records of continuing value, and assist Federal agencies in applying such standards to records in their custody; and he shall notify the head of any Federal agency of any actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of records in the custody of such agency that shall come to his attention, and assist the head of such agency in initiating action through the Attorney General for the recovery of such records as shall have been unlawfully removed and for such other redress as may be provided by law.

"(c) The Administrator is authorized to inspect or survey personally or by deputy the records of any Federal agency, as well as to make surveys of records management and records disposal practices in such agencies, and shall be given the full cooperation of officials and employees of agencies in such inspections and surveys: *Provided*, That records, the use of which is restricted by or pursuant to law or for reasons of national security or the public interest, shall be inspected or surveyed in accordance with regulations promulgated by the Administrator, subject to the approval of the head of the custodial agency.

"(d) The Administrator is authorized to establish, maintain, and operate records centers for the storage, processing, and servicing of records for Federal agencies pending their deposit with the National Archives of the United States or their disposition in any other manner authorized by law; and to establish, maintain, and operate centralized microfilming services for Federal agencies.

"(e) Subject to applicable provisions of law, the Administrator shall promulgate regulations governing the transfer of records from the custody of one executive agency to that of another.

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"(f) The Administrator may empower any Federal agency, upon the submission of evidence of need therefor, to retain records for a longer period than that specified in disposal schedules approved by Congress, and, in accordance with regulations promulgated by him, may withdraw disposal authorizations covering records listed in disposal schedules approved by Congress.

"RECORDS MANAGEMENT; AGENCY HEADS

"SEC. 506. (a) The head of each Federal agency shall cause to be made and preserved records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.

"(b) The head of each Federal agency shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. Such program shall, among other things, provide for (1) effective controls over the creation, maintenance, and use of records in the conduct of current business; (2) cooperation with the Administrator in applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and disposal of records of temporary value; and (3) compliance with the provisions of this title and the regulations issued thereunder.

"(c) Whenever the head of a Federal agency determines that substantial economies or increased operating efficiency can be effected thereby, he shall provide for the storage, processing, and servicing of records that are appropriate therefor in a records center maintained and operated by the Administrator or, when approved by the Administrator, in such a center maintained and operated by the head of such Federal agency.

"(d) Any official of the Government who is authorized to certify to facts on the basis of records in his custody, is hereby authorized to certify to facts on the basis of records that have been transferred by him or his predecessors to the Administrator.

"(e) The head of each Federal agency shall establish such safeguards against the removal or loss of records as he shall determine to be necessary and as may be required by regulations of the Administrator. Such safeguards shall include making it known to all officials and employees of the agency (1) that no records in the custody of the agency are to be alienated or destroyed except in accordance with the provisions of the Act approved July 7, 1943 (57 Stat. 380–383), as amended July 6, 1945 (59 Stat. 434), and (2) the penalties provided by law for the unlawful removal or destruction of records.

"(f) The head of each Federal agency shall notify the Administrator of any actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of records in the custody of the agency of which he is the head that shall come to his attention, and with the assistance of the Administrator shall initiate action through the Attorney General for the recovery of records he knows or has reason to believe have been unlawfully removed from his agency, or from any other Federal agency whose records have been transferred to his legal custody.

"(g) Nothing in this title shall be construed as limiting the authority of the Comptroller General of the United States with respect to prescribing accounting systems, forms, and procedures, or lessening the responsibility of collecting and disbursing officers for rendition of their accounts for settlement by the General Accounting Office.

"ARCHIVAL ADMINISTRATION

"SEC. 507. (a) The Administrator, whenever it appears to him to be in the public interest, is hereby authorized—

"(1) to accept for deposit with the National Archives of the United States the records of any Federal agency or of the Congress of the United States that are determined by the Archivist to have sufficient historical or other value to warrant their continued preservation by the United States Government;

"(2) to direct and effect, with the approval of the head of the originating agency (or if the existence of such agency shall have been terminated, then with the approval of his successor in function, if any), the transfer of records deposited (or approved for deposit) with the National Archives of the United

States to public or educational institutions or associations: *Provided*, That the title to such records shall remain vested in the United States unless otherwise authorized by Congress; and

"(3) to direct and effect the transfer of materials from private sources authorized to be received by the Administrator by the provisions of subsection (e) of this section.

"(b) The Administrator shall be responsible for the custody, use, and withdrawal of records transferred to him: *Provided*, That whenever any records the use of which is subject to statutory limitations and restrictions are so transferred, permissive and restrictive statutory provisions with respect to the examination and use of such records applicable to the head of the agency from which the records were transferred or to employees of that agency shall thereafter likewise be applicable to the Administrator, the Archivist, and to the employees of the General Services Administration, respectively: *Provided further*, That whenever the head of any agency shall specify in writing restrictions that appear to him to be necessary or desirable in the public interest, on the use or examination of records being considered for transfer from his custody to the Administrator, the Administrator shall impose such restrictions on the records so transferred, and shall not remove or relax such restrictions without the concurrence in writing of the head of the agency from which the material shall have been transferred (or if the existence of such agency shall have been terminated, then he shall not remove or relax such restrictions without the concurrence of the successor in function, if any, of such agency head): *Provided, however*, That statutory and other restrictions referred to in the provisos of this subsection shall not remain in force or effect after the records have been in existence for fifty years unless the Administrator by order shall determine with respect to specific bodies of records that such restrictions shall remain in force and effect for a longer period: *And provided further*, That restrictions on the use or examination of records deposited with the National Archives of the United States heretofore imposed and now in force and effect under the terms of section 3 of the National Archives Act, approved June 19, 1934, shall continue in force and effect regardless of the expiration of the tenure of office of the official who imposed them but may be removed or relaxed by the Administrator with the concurrence in writing of the head of the agency from which material has been transferred (or if the existence of such agency shall have been terminated, then with the concurrence in writing of his successor in function, if any).

"(c) The Administrator shall make provisions for the preservation, arrangement, repair and rehabilitation, duplication and reproduction (including microcopy publications), description, and exhibition of records transferred to him as may be needful or appropriate, including the preparation and publication of inventories, indexes, catalogs, and other finding aids or guides facilitating their use; and, when approved by the National Historical Publications Commission, he may also publish such historical works and collections of sources as seem appropriate for printing or otherwise recording at the public expense.

"(d) The Administrator shall make such provisions and maintain such facilities as he deems necessary or desirable for servicing records in his custody that are not exempt from examination by statutory provisions or other restrictions.

"(e) The Administrator may accept for deposit—

"(1) the personal papers and other personal historical documentary materials of the present President of the United States, his successors, heads of executive departments, and such other officials of the Government as the President may designate, offered for deposit under restrictions respecting their use specified in writing by the prospective depositors: *Provided*, That restrictions so specified on such materials, or any portions thereof, accepted by the Administrator for such deposit shall have force and effect during the lifetime of the depositor or for a period not to exceed twenty-five years, whichever is longer, unless sooner terminated in writing by the depositor or his legal heirs: *And provided further*, That the Archivist determines that the materials accepted for such deposit will have continuing historical or other values;

"(2) motion-picture films, still pictures, and sound recordings from private sources that are appropriate for preservation by the Government as evidence of its organization, functions, policies, decisions, procedures, and transactions.

Title to materials so deposited under this subsection shall pass to and vest in the United States.

"(f) The Administrator is hereby authorized to make and preserve motion-picture films, still pictures, and sound recordings pertaining to and illustrative of

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the historical development of the United States Government and its activities, and to make provisions for preparing, editing titling, scoring, processing, duplicating, reproducing exhibiting, and releasing for nonprofit educational purposes, motion-picture films, still pictures, and sound recordings in his custody.

"REPORTS

"SEC. 508. (a) The Administrator is hereby authorized whenever he deems it necessary, to obtain reports from Federal agencies on their activities under the provisions of this title and the Act approved July 7, 1943 (57 Stat, 380–383), as amended July 6, 1945 (59 Stat. 434).

"(b) The Administrator shall, whenever he finds that any provisions of this title have been or are being violated, inform in writing the head of the agency concerned of such violations and make recommendations regarding means of correcting them. Unless corrective measures satisfactory to the Administrator are inaugurated within a reasonable time, the Administrator shall submit a written report thereon to the President and the Congress.

"LEGAL STATUS OF REPRODUCTIONS

"SEC, 509. (a) Whenever any records that are required by statute to be retained indefinitely have been reproduced by photographic, micr ophotographic, or other processes, in accordance with standards established by the Administrator, the indefinite retention of such photographic, microphotographic or other reproductions will be deemed to constitute compliance with the statutory requirement for the indefinite retention of such original records. Such reproductions, as well as reproductions made in compliance with regulations promulgated to carry out this title, shall have the same legal status as the originals thereof.

"(b) There shall be an official seal for the National Archives of the United States which shall be judicially noticed. When any copy or reproduction, furnished under the terms hereof, is authenticated by such official seal and certified by the Administrator, such copy or reproduction shall be admitted in evidence equally with the original from which it was made.

"(c) The Administrator may charge a fee not in excess of 10 per centum above the costs or expenses for making or authenticating copies or reproductions of materials transferred to his custody. All such fees shall be paid into, administered, and expended as a part of the National Archives Trust Fund provided for in section 5 of the Act approved July 9, 1941. There shall be no charge for making or authenticating copies or reproductions of such materials for official use by the United States Government: *Provided*, That reimbursement may be accepted to cover the cost of furnishing such copies or reproductions that could not otherwise be furnished.

"LIMITATION ON LIABILITY

"SEC. 510. With respect to letters and other intellectual productions (exclusive of material copyrighted or patented) after they come into the custody or possession of the Administrator, neither the United States nor its agents shall be liable for any infringement of literary property rights or analogous rights arising thereafter out of use of such materials for display, inspection, research, reproduction, or other purposes.

"DEFINITIONS

"SEC. 511. When used in this title—

"(a) The term 'records' shall have the meaning given to such term by section 1 of the Act entitled 'An Act to provide for the disposal of certain records of the United States Government', approved July 7, 1943 (57 Stat. 380, as amended; 44 U. S. C. 366);

"(b) The term 'records center' means an establishment maintained by the Administrator or by a Federal agency primarily for the storage, servicing, security, and processing of records that must be preserved for varying periods of time and need not be retained in office equipment and space;

"(c) The term 'servicing' means making available for use information in records and other materials in the custody of the Administrator—

"(1) by furnishing such records or other materials, or information from such records or other materials, or copies or reproductions thereof to agencies of the Government for official use and to the public; and

"(2) by making and furnishing authenticated or unauthenticated copies or reproductions of such records and other materials;

"(d) The term 'National Archives of the United States' means those official records that have been determined by the Archivist to have sufficient historical or other value to warrant their continued preservation by the United States Government, and have been accepted by the Administrator for deposit in his custody;

"(e) The term 'unauthenticated copies' means exact copies or reproductions of records or other materials that are not certified as such under seal and that need not be legally accepted as evidence; and

"(f) The term 'Archivist' means the Archivist of the United States."

SEC. 7. The Federal Property and Administrative Services Act of 1949 is further amended by—

(a) striking out the word "and" preceding "(2)" in subsection (d) of section 3 thereof; substituting a semicolon for the period at the end of said subsection; and adding at the end of such subsection the following: "and (3) records of the Federal Government.";

(b) striking out, in section 208 (a) thereof, the expression "and V", and inserting in lieu thereof the expression "V, and VI";

(c) striking out, in section 208 (b) thereof, the expression "and V", and inserting in lieu thereof the expression "V, and VI";

(d) striking out the word "and" at the end of paragraph (30) of section 602 (a); striking out the period at the end of paragraph (31) of section 602 (a) and inserting in lieu thereof a semicolon; and adding at the end of section 602 (a) the following new paragraphs:

"(32) the Act entitled 'An Act to establish a National Archives of the United States Government, and for other purposes', approved June 19, 1934 (48 Stat. 1122–1124, as amended; 44 U. S. C. 300, 300a, 300c–k); and

"(33) section 4 of the Act of February 3, 1905 (33 Stat. 687, as amended; 5 U. S. C. 77)."

(e) amending subsection 602 (b) and (c) thereof to read as follows:

"(b) There are hereby superseded—

"(1) the provisions of the first, third, and fifth paragraphs of section 1 of Executive Order Numbered 6166 of June 10, 1933, insofar as they relate to any function now administered by the Bureau of Federal Supply except functions with respect to standard contract forms; and

"(2) sections 2 and 4 of the Act entitled 'An Act to provide for the disposal of certain records of the United States Government', approved July 7, 1943 (57 Stat. 381, as amended; 44 U. S. C. 367 and 369), to the extent that the provisions thereof are inconsistent with the provisions of title V of this Act.

"(c) The authority conferred by this Act shall be in addition and paramount to any authority conferred by any other law and shall not be subject to the provisions of any law inconsistent herewith, except that sections 205 (b) and 206 (c) of this Act shall not be applicable to any Government corporation or agency which is subject to the Government Corporation Control Act (59 Stat. 597; 31 U. S. C. 841)."

(f) amending paragraphs (17), (18), and (19) of section 602 (d) thereof to read as follows:

"(17) the Central Intelligence Agency;

"(18) the Joint Committee on Printing, under the Act entitled 'An Act providing for the public printing and binding and the distribution of public documents' approved January 12, 1895 (28 Stat. 601), as amended or any other Act; or

"(19) for such period of time as the President may specify, any other authority of any executive agency which the President determines within one year after the effective date of this Act should, in the public interest, stand unimpaired by this Act."

(g) striking out the period at the end of section 603 (a) thereof and inserting in lieu thereof a comma and the following: "including payment in advance, when authorized by the Administrator, for library memberships in societies whose publications are available to members only, or to members at a price lower than that charged to the general public."

SEC. 8. (a) Subsection 3 (b) of the Federal Property and Administrative Services Act of 1949 is amended to read as follows:

"(b) The term 'Federal agency' means any executive agency or any establishment in the legislative or judicial branch of the Government (except the Senate, the House of Representatives, and the Architect of the Capitol and any activities under his direction)."

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(b) Section 201 (b) of the Federal Property and Administrative Services Act of 1949 is amended by striking out the expression "or the Senate, or the House of Representatives,".

(c) Section 602 of the Federal Property and Administrative Services Act of 1949 is amended by redesignating subsection (e) thereof as subsection (f), and inserting, immediately after subsection (d) thereof, the following new subsection:

"(e) No provision of this Act, as amended, shall apply to the Senate or the House of Representatives (including the Architect of the Capitol and any building, activity, or function under his direction), but any of the services and facilities authorized by this Act to be rendered or furnished shall, as far as practicable, be made available to the Senate, the House of Representatives, or the Architect of the Capitol, upon their request, and, if payment would be required for the rendition or furnishing of a similar service or facility to an executive agency, payment therefor shall be made by the recipient thereof, upon presentation of proper vouchers, in advance or by reimbursement (as may be agreed upon by the Administrator and the officer or body making such request). Such payment may be credited to the applicable appropriation of the executive agency receiving such payment."

SEC. 9. The Federal Property and Administrative Services Act of 1949, section 205 (h), is hereby amended by striking out the last word of the sentence "title" and inserting in lieu thereof the word "Act".

SEC. 10. (a) Whenever any contract made on behalf of the Government by the head of any Federal Agency, or by officers authorized by him so to do, includes a provision for liquidated damages for delay, the Comptroller General upon recommendation of such head is authorized and empowered to remit the whole or any part of such damages as in his discretion may be just and equitable.

(b) Section 306 of the Federal Property and Administrative Services Act of 1949, is hereby repealed, and this section shall be effective as of July 1, 1949.

SEC. 11. All laws or parts of laws in conflict with the provisions of this Act or with any amendment made thereby are, to the extent of such conflict, hereby repealed.

Approved September 5, 1950.

APPENDIX C

[PUBLIC LAW 831—77TH CONGRESS]

[CHAPTER 811—2D SESSION]

[S. 1666]

AN ACT To coordinate Federal reporting services, to eliminate duplication and reduce the cost of such services, and to minimize the burdens of furnishing information to Federal agencies.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "Federal Reports Act of 1942".

SEC. 2. It is hereby declared to be the policy of the Congress that information, which may be needed by the various Federal agencies should be obtained with a minimum burden upon business enterprises (especially small business enterprises) and other persons required to furnish such information, and at a minimum cost to the Government, that all unnecessary duplication of efforts in obtaining such information through the use of reports, questionnaires, and other such methods should be eliminated as rapidly as practicable; and that information collected and tabulated by any Federal agency should insofar as is expedient be tabulated in a manner to maximize the usefulness of the information to other Federal agencies and the public.

SEC. 3. (a) With a view to carrying out the policy of this Act, the Director of the Bureau of the Budget (hereinafter referred to as the "Director") is directed from time to time (1) to investigate the needs of the various Federal agencies for information from business enterprises, from other persons, and from other Federal agencies; (2) to investigate the methods used by such agencies in obtaining such information; and (3) to coordinate as rapidly as possible the information-collecting services of all such agencies with a view to reducing the cost to the Government of obtaining such information and minimizing the burden upon business enterprises and other persons, and utilizing, as far as practicable, the continuing organization, files of information and existing facilities of the established Federal departments and independent agencies.

(b) If, after any such investigation, the Director is of the opinion that the needs of two or more Federal agencies for information from business enterprises and other persons will be adequately served by a single collecting agency, he shall fix a time and place for a hearing at which the agencies concerned and any other interested persons shall have an opportunity to present their views. After such hearing, the Director may issue an order designating a collecting agency to obtain such information for any two or more of the agencies concerned, and prescribing (with reference to the collection of such information) the duties and functions of the collecting agency so designated and the Federal agencies for which it is to act as agent. Any such order may be modified from time to time by the Director as circumstances may require, but no such modification shall be made except after investigation and hearing as hereinbefore provided.

(c) While any such order or modified order is in effect, no Federal agency covered by such order shall obtain for itself any information which it is the duty of the collecting agency designated by such order to obtain.

(d) Upon the request of any party having a substantial interest, or upon his own motion, the Director is authorized within his discretion to make a determination as to whether or not the collection of any information by any Federal agency is necessary for the proper performance of the functions of such agency or for any other proper purpose. Before making any such determination, the Director may, within his discretion, give to such agency and to other interested persons an adequate opportunity to be heard or to submit statements in writing. To the extent, if any, that the Director determines the collection of such information by such agency is unnecessary, either because it is not needed for the proper performance of the functions of such agency or because it can be obtained from another Federal

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agency or for any other reason, such agency shall not thereafter engage in the collection of such information.

(e) For the purposes of this Act, the Director is authorized to require any Federal agency to make available to any other Federal agency any information which it has obtained from any person after the date of enactment of this Act, and all such agencies are directed to cooperate to the fullest practicable extent at all times in making such information available to other such agencies: *Provided*, That the provisions of this Act shall not apply to the obtaining or releasing of information by the Bureau of Internal Revenue, the Comptroller of the Currency, the Bureau of the Public Debt, the Bureau of Accounts, and the Division of Foreign Funds Control of the Treasury Department: *Provided further*, That the provisions of this Act shall not apply to the obtaining by any Federal bank supervisory agency of reports and information from banks as provided or authorized by law and in the proper performance of such agency's functions in its supervisory capacity.

SEC. 4. (a) In the event that any information obtained in confidence by a Federal agency is released by that agency to another Federal agency, all the provisions of law (including penalties) which relate to the unlawful disclosure of any such information shall apply to the officers and employees of the agency to which such information is released to the same extent and in the same manner as such provisions apply to the officers and employees of the agency which originally obtained such information; and the officers and employees of the agency to which the information is released shall in addition be subject to the same provisions of law (including penalties) relating to the unlawful disclosure of such information as if the information had been collected directly by such agency.

(b) Information obtained by a Federal agency from any person or persons may, pursuant to this Act, be released to any other Federal agency only if (1) the information shall be released in the form of statistical totals or summaries; or (2) the information as supplied by persons to a Federal agency shall not, at the time of collection, have been declared by that agency or by any superior authority to be confidential; or (3) the persons supplying the information shall consent to the release of it to a second agency by the agency to which the information was originally supplied; or (4) the Federal agency to which another Federal agency shall release the information has authority to collect the information itself and such authority is supported by legal provision for criminal penalties against persons failing to supply such information.

SEC. 5. No Federal agency shall conduct or sponsor the collection of information, upon identical items, from ten or more persons (other than Federal employees considered as such) unless, in advance of adoption or revision of any plans or forms to be used in such collection,

(a) The agency shall have submitted to the Director such plans or forms, together with copies of such pertinent regulations and other related materials as the Director shall specify; and

(b) The Director shall have stated that he does not disapprove the proposed collection of information.

SEC. 6. The Director is authorized to make such rules and regulations as may be necessary to carry out the provisions of this Act.

SEC. 7. As used in this Act—

(a) The term "Federal agency" means any executive department, commission, independent establishment, corporation owned or controlled by the United States, board, bureau, division, service, office, authority, or administration in the executive branch of the Government; but such terms shall not include the General Accounting Office nor the governments of the District of Columbia and of the Territories and possessions of the United States, and the various subdivisions of such governments.

(b) The term "person" means any individual, partnership, association, corporation, business trust, or legal representative, any organized group of persons, any State or Territorial government or branch thereof, or any political subdivision of any State or Territory or any branch of any such political subdivision.

(c) The term "information" means facts obtained or solicited by the use of written report forms, application forms, schedules, questionnaires, or other similar methods calling either (1) for answers to identical questions from ten or more persons other than agencies, instrumentalities, or employees of the United States or (2) for answers to questions from agencies, instrumentalities, or employees of the United States which are to be used for statistical compilations of general public interest.

SEC. 8. Any person failing to furnish information required by any such agency shall be subject to such penalties as are specifically prescribed by law, and no other penalty shall be imposed either by way of fine or imprisonment or by the withdrawal or denial of any right, privilege, priority, allotment, or immunity, except when the right, privilege, priority, allotment, or immunity, is legally conditioned on facts which would be revealed by the information requested.

SEC. 9. There are hereby authorized to be appropriated annually, out of any money in the Treasury not otherwise appropriated, such sums as may be necessary to carry out the provisions of this Act.

Approved, December 24, 1942.

79090—56——8

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APPENDIX D

UNITED STATES GOVERNMENT STANDARD FORMS APPROVED BY THE BUREAU OF THE BUDGET

STANDARD FORMS INITIATED BY BUREAU OF THE BUDGET

Standard Form No.	Title
32	Schedule of Obligations
63	Memorandum of Call
76	Application for Ballot
83	Request for Clearance of Forms and Reports
88	Report of Medical Examination
89	Report of Medical History
90	Health Qualification Placement Record
91	Operators Report of Motor Vehicle Accident
91A	Investigation Report of Motor Vehicle Accident
92	Supervisors Report of Accident (Not for Vehicle Accident)
92A	Report of Accident other Than Motor Vehicle
94	Statement of Witness
95	Claim for Damage or Injury
97	United States Government Certificate of Release of a Motor Vehicle
106	Statement of Appropriations and Expenditures
107	Statement of Contract Authorizations
108	Statement of Receipts
150	Standardized Government Travel Regulations
501	Diagnostic Summary
502	Narrative Summary
503	Autopsy Protocol
504	History—Part I
505	History—Part II
506	Physical Examination
507	Report on/or Continuation of SF #
508	Doctor's Orders
509	Doctor's Progress Notes
510	Nurses' Notes
511	Temperature-Pulse-Respiration-Fahrenheit
511A	Temperature-Pulse-Respiration-Centigrade
512	Plotting Chart
513	Consultation Sheet
514	Laboratory Reports
514A	Laboratory Reports—Urinalysis
514B	Laboratory Reports—Hematology
514C	Laboratory Reports—Serology
514D	Laboratory Reports—Blood Chemistry
514E	Laboratory Reports—Sputum & Gastric Contents
514F	Laboratory Reports—Gastric Analysis
514G	Laboratory Reports—Feces
514H	Laboratory Reports—Spinal Fluid
514I	Laboratory Reports—Basal Metabolism
514J	Laboratory Reports—Liver & Biliary Function
514K	Laboratory Reports—Bacteriology
514L	Laboratory Reports—Renal Function
514M	Laboratory Report
515	Tissue Examination
516	Operation Report
517	Anesthesia
518	Blood Transfusion
519	Radiographic Reports

STANDARD FORMS INITIATED BY BUREAU OF THE BUDGET—continued

Standard Form No.	Title
519A	Radiographic Reports
520	Electrocardiographic Record
521	Dental
522	Authorization for Administration of Anesthesia and for Performance of Operations and Other Procedures
523	Authorization for Post-Mortem Examination
523A	Disposition of Body
524	Roentgen Therapy
525	Roentgen Therapy Summary
526	Radium Therapy
527	Manual Muscle Evaluation
527A	Joint Motion Measurements
528	Muscle and/or Nerve Evaluation—Manual and Electrical—Upper Extremity
529	Muscle and/or Nerve Evaluation—Manual or Electrical—Trunk—Lower Extremity—Face
530	Neurological Examination
531	Anatomical Figure
532	Pneumothorax—Pneumopertoneum
533	Prenatal and Pregnancy
534	Labor
535	Newborn
536	Pediatric Nursing Notes
537	Pediatric Graphic Chart
538	Pediatric
539	Abbreviated Clinical Record
600	Chronological Record of Medical Care
601	Immunization Record
602	Syphilis Record
603	Dental

STANDARD FORMS INITIATED BY GENERAL SERVICES ADMINISTRATION

2	Lease
14	Telegraphic Message
14A	Telegraphic Message
20	Invitation for Bids (Construction Contracts)
21	Bid Form (Construction Contract)
22	Instructions to Bidders (Construction Contracts)
23	Construction Contract
23A	General Provisions (Construction Contracts)
24	Bid Bond
25	Performance Bond
25A	Payment Bond
26	Award (Supply Contract)
27	Performance Bond—Corporate Co.—Surety Form
27A	Payment Bond—Corporate Co.—Surety Form
27B	Continuation Sheet—Corporate Co.—Surety Bond
28	Affidavit of Individual Surety
30	Invitation and Bid (Supply Contract)
31	Schedule (Supply Contract)
32	General Provisions (Supply Contract)
33	Invitation, Bid and Award (Supply Contract)
34	Annual Bid Bond
35	Annual Performance Bond
36	Continuation Sheet (Supply Contract)
40	Contract for Telephone Service
44	Purchase Order—Invoice—Voucher
44A	Purchase Order—Invoice—Voucher (Sellers Invoice)
44B	Purchase Order—Invoice—Voucher (Sellers Copy of Invoice)
44C	Purchase Order—Invoice—Voucher (Receiving Report, Accounting Copy)
44D	Purchase Order—Invoice—Voucher (Memorandum Copy)
65	U. S. Government Messenger Envelope

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STANDARD FORMS INITIATED BY GENERAL SERVICES ADMINISTRATION—continued

Standard Form No.	Title
81	Request for Space
82	Annual Motor Vehicle Report
82A	Annual Motor Vehicle Report—Supp. Tabulation by States
82B	Motor Vehicle Report—Supplemental Age & Mileage Analysis
111	Agency Space Report (D. C. and Adjacent Areas)
111A	Agency Space Summarization
114	Sale of Govt. Property—Invitation, Bid and Acceptance
114A	Sale of Govt. Property—Invitation, Bid & Acceptance—Continuation Sheet
115	Request for Authority to Dispose of Records
115A	Request for Authority to Dispose of Records—Continuation Sheet
118	Report of Excess Real Property
118A	Buildings, Structures, Utilities & Miscl. Facilities
118B	Land
118C	Related Personal Property
119	Contractors Statement of Contingent or Other Fees
120	Report of Excess Personal Property
120A	Report of Excess Personal Property—Continuation Sheet
121	Quarterly Report of Utilization and Disposal of Excess and Surplus Per. Property
123	Report of Space Use by Building
125	Report of Strategic and Critical Materials
125A	Report of Strategic and Critical Materials—Continuation Sheet
127	Request for Official Personnel Folder
129	Bidders Mailing List Application
134	Records Shelf List
134A	Records Shelf List (Alternate)
135	Transmittal of Government Records
136	Annual Statistical Summary of Records Holdings
137	Agency Records Center Annual Report
145	Order for Telephone Service
145A	Order for Telephone Service
146	Changes in Telephone Listings
147	Order—Invoice—Voucher
148	Order—Invoice—Voucher—Continuation Sheet

STANDARD FORMS INITIATED BY CIVIL SERVICE COMMISSION

7	Service Record Card
7a	Service Record Card (Vertical Visible)
7d	Position Identification Strip
15	Veteran Preference Claim
39	Request for Certification
45	Emergency Registration Card
46	U. S. Government Motor Vehicle Operator's Identification Card
47	Physical Fitness Inquiry for Motor Vehicle Operators
50	Notification of Personnel Action
52	Request for Personnel Action
52a	Request for Release with Reemployment Rights
53	Waiver of Life Insurance Coverage
54	Designation of Beneficiary—Federal Employees Group Life Ins. Act of 1954
55	Notice of Conversion Privilege—Federal Employees Group Life Ins. Act of 1954
56	Agency Certification of Insurance Status
57	Application for Federal Employment
57a	Continuation Sheet for Standard Form 57
58	Experience and Qualifications Statement
60	Application for Federal Employment (Short Form)
61	Appointment Affidavits
61a	Civil Officer Appointment Affidavits
62	Statement of Reasons for Passing Over a Preference Eligible
66	Inquiry Regarding Status and/or Service
69	Annual Report—Government Employees Incentive Awards Program
71	Application for Leave

STANDARD FORMS INITIATED BY CIVIL SERVICE COMMISSION—continued

Standard Form No.	Title
72	Report of Action after Agency Full Field Investigation
73	Report of Action after CSC or FBI Investigation
74	Notice of Transmittal of Investigative Reports for Security Determination
75a	Guide for Writing Position Description
77	Quarterly Report of Agency Actions under EO 10450
78	Certificate of Medical Examination
78a	Medical Appointment and Report
79	Notice of Security Investigation
85	Security Investigation Data for Non-Senstive Position
86	Security Investigation Data for Sensitive Position
87	Fingerprint Chart
105	Certificate of Membership—CSC Retirement System
112	Request for Medical Examination—CSC Retirement System
113	Monthly Report of Federal Civilian Employment
122	Request for Authority to send Recruiters Outside Normal Area
124	Application for Postmaster or Rural Carrier
144	Prior Federal Civilian and Military Service

STANDARD FORMS INITIATED BY TREASURY DEPARTMENT

16	Bond—Imprest Fund Cashier
19	Bond of Indemnity—Advances
126	Bond—Issuance Schedule
126A	Bond—Issuance Schedule
201	Certificate of Deposit (not sbject to check)
207	Certificate of Deposit for Checking Account
208	Certificate of Deposit for Checking Account (Trust and Special Funds)
209	Certificate of Deposit for Checking Account
210	Signature Card for Certifying Officers
220	Statement of Financial Condition
221	Statement of Income and Expense (and changes in accumulated net income or deficit)
222	Statement of Sources and Application of Funds
223	Statement of Long-range Commitments or Contingencies

STANDARD FORMS INITIATED BY BUREAU OF THE BUDGET—TREASURY DEPARTMENT

131	Apportionments Schedule (By Time Periods)
131A	Apportionment Schedule (By Activities—Projects, etc.)
132	Reapportionment Schedule (By Time Periods)
132A	Reapportionment Schedule (By Activities—Projects, etc.)
133	Report on Status of Appropriation Accounts
141	Apportionment Schedule for Corporations and Enterprises
142	Reapportionment Schedule for Corporations and Enterprises
143	Report of Status of Appropriations for Corporations and Enterprises

STANDARD FORMS INITIATED BY GOVERNMENT PRINTING OFFICE

1	Printing and Binding Requisition
1A	Binding Instructions
1B	List of Books to be Bound

STANDARD FORMS INITIATED BY FEDERAL CIVIL DEFENSE ADMINISTRATION

138	Civil Defense Identification Card
139	Civil Defense Vehicle Marker

Total, 2.

STANDARD FORMS INITIATED BY DEPARTMENT OF LABOR

8	Notice to Federal Employee About Unemployment Compensation
99	Notice of Award of Contract

STANDARD FORM INITIATED BY FEDERAL COMMUNICATIONS COMMISSION

128	Radio Frequency Record

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APPENDIX E

ADVISORY COUNCIL ON FEDERAL REPORTS

SPONSOR'S REPORT

A summary of current activities of the Advisory Council on Federal Reports to its sponsors: American Chamber of Commerce Executives, American Retail Federation, American Trade Association Executives, Chamber of Commerce of the United States, Controllers Institute of America, National Association of Manufacturers, National Industrial Council

First Quarter 1956

FOREWORD

This is the first in a series of reports on the activities of the Advisory Council on Federal Reports, its committees and temporary panels. The items are in summary form for quick reading. Further information on particular activities will be furnished on request.

While reviewing these items, it should be borne in mind that the purposes of the council are—

To reduce the burden of paperwork resulting from Federal surveys and recordkeeping requirements;

To simplify and improve Federal reporting programs;

To assist the Bureau of the Budget in developing essential Federal statistics by making known to the Bureau the views of industry;

To serve as a two-way channel for communication between Government and industry on problems relating to questionnaires and reporting forms, statistics, and related matters.

AIR TRANSPORTATION

Committee.
Meeting: March 27, 1956.
Minutes: On file.

The Committee on Air Transportation is reviewing undisposed targets of the Hoover Commission, some substantial in their importance to the industry, particularly the record retention requirements of the Civil Aeronautics Board.

A direct result of committee's first meeting was an interindustry panel appointed to study forms and clearance procedures of the Immigration and Naturalization Service and the Department of State.

BANKING

Committee.
Meeting: May 15, 1956.
Minutes: Due.

The council's committee held its second meeting May 15 compiling a list of criticisms concerning approximately 10 forms of Federal bank supervisory agencies. The committee plans to meet again in June to discuss these criticisms with representatives of the Bureau of the Budget and the banking agencies in an effort to gain the adoption of savings in paperwork and improvements in the function of informational reports filed by the banking institutions.

BRASS AND COPPER WIRE MILL REPORTS

Consultation by mail.

The Bureau of the Budget has informed the council that, with the assistance of industry advice, seven product forms have been combined effecting substantia economies and the easing of paperwork handling by respondent companies. The Bureau further states that a separate report on unfilled orders will be dropped.

An essential part of this information will be added to the data to be supplied in the consolidated form since companies representing 80 to 89 percent of the output of the industry already report such data. This economy in the use of forms will benefit 100 percent of the reporting companies.

A section of the consolidation report on warehouse information was deleted. Consideration is being given to the possibility of collecting this data through trade association services similar to statistical programs in operation for steel and aluminum.

CHEMICALS MANUFACTURING

Committee.
Meeting: April 11, 1956.
Minutes: On file.

The council's committee on chemicals is engaged in three functions:

1. Disposal of outstanding Hoover Commission paperwork targets by industry-opinion canvasses on each.
2. Service as an industry clearance mechanism for manufacturing capacity surveys, five of which have been processed by the committee. Changes have been made in each survey as a result of this advice. These surveys covered the following defense supporting items: shellac, methyl alcohol, formaldehyde, synthetic manganese dioxide, and ammonium chloride.
3. Establishment of two subcommittees:
   (*a*) Synthetic organic chemicals to reexamine the Tariff Commission's annual report. It has been 6 years since the last thorough industry review was conducted by the council.
   (*b*) Inorganic chemicals series.

COPPER WIRE MILL CAPACITY

Panel.
Meeting: February 21, 1956.
Minutes: On file.

An industry panel reviewed the survey techniques for measuring the capacity of copper-wire mills in the interest of defense planning, making a number of recommendations for improvements. Important among these are clarification of instructions and the development of a list of products which would be the basis of the survey. At present, a pretest of the reporting form is underway in a few establishments to determine whether this product-mix, and related instructions, are workable.

EXPORT STATISTICS

The council at the request of the Bureau of the Budget canvassed 150 businessmen in key locations on the desirability of certain alternatives for curtailing the export statistics of the United States Government from 2,800 items to approximately 1,500 items, and whether the savings would be worth the loss in export data used by firms engaged in foreign trade. Within a month over 100 pages of industry advice were submitted by the council to the Bureau of the Budget.

FISHERIES STATISTICS AND REPORTS

Committee.
Meeting: April 13, 1956.
Minutes: Due.

The council's committee on fisheries statistics and reports was organized primarily to meet the needs of the Budget Bureau for advice on improvements which might be made in Government series on fish catching, canning, freezing, marketing, and other aspects of this industry. Paperwork simplification likewise is a responsibility of this committee.

At present, the committee is considering warehouse and dealer reports to the Fish and Wildlife Service and has recommended that the Fish and Wildlife Service review various published statistics for opportunities to improve these data.

IMMIGRATION AND NATURALIZATION SERVICE FORMS

The council has appointed a panel to review seven forms. This panel will meet on May 23 and will be composed of representatives of air- and water-transportation companies. A description of the problem and the forms involved have been distributed to the members of the panel for advance study. Some critical briefs have already arrived at the council's office.

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INDUSTRIAL SECURITY

Panel.
Canvass by mail.

Although earlier reports of the council have indicated the magnitude of achievements as a result of industry-Budget Bureau consolidation (1 company estimated savings at $75,000), further simplifications have been made in this program as a result of a canvass of the members of the council's panel on industrial security.

INDUSTRY REPORTS AND RECORDS ON PROPERTY AND EQUIPMENT OWNED BY THE AIR FORCE

Committee.
Meeting: April 26, 1956.
Minutes: On file.

The council's committee on Air Force facilities held another meeting in Dayton, Ohio, on April 26 in an effort to gain further ground toward opportunity for economy generally agreed to exist in the paperwork necessitated by contractor accountability for Government-owned property in his possession. This Dayton meeting, third within 18 months, achieved agreement by Air Force and industry representatives to push ahead on the overall Air Force study to condense the volume of reports and records now in existence. It also achieved agreement by the Air Force to reconsider its position on the listing of dollar limits below which reports would not be required. The cost of these particular reports, according to industry, is out of proportion to the value of the property involved.

The committee, which at first had hoped to complete its task within a year, appreciates that the extended time being consumed is the result in large part of the complexity of Federal laws and regulations requiring accountability of Government property in the hands of private industry.

MACHINE TOOLS

Committee.
Meeting: December 9, 1955, recent consultation by mail.
Minutes: On file.

The council's committee is completing a review of Hoover Commission paperwork targets in the machine tool industry. It has selected two forms for elimination or curtailment and is canvassing the industry before submitting firm recommendations to the Bureau of the Budget. However, it has also looked into the effectiveness of certain reporting programs and has made suggestions which would improve the performance of these reports.

MEAT DISTRIBUTION

Committee.
Meeting: November 12, 1955.
Minutes: On file.

The chairman of the committee on meat packing brought together in Chicago members of the committee to review with the Bureau of the Budget and the Department of Agriculture a proposed survey of wholesale meat distribution in the San Francisco Bay area. Suggestions made by industry members were adopted by the Bureau of the Budget and the Department of Agriculture greatly reducing the burden on establishments covered by the survey. At the same time, industry advice resulted in collection of better information by the Department of Agriculture through reporting improvements.

The principal reason for a thorough review was that this project was a pilot study forming the basis for a later survey of wholesale meat distribution on a national scale.

MILITARY CONTRACTOR'S COST AND PRICE ANALYSIS REPORT

The Bureau of the Budget has asked the council to gather industry comments in regard to a new form designed to furnish procurement officials with price and cost analysis information. A joint meeting has been scheduled to permit industry and Government representatives to discuss such changes as industry may propose.

MOTORBUS TRANSPORTATION

Committee.
Meetings: February 10, and April 18, 1956.
Minutes: On file.

There were no motorbus industry paperwork targets listed in the Hoover Commission task force report. However, the council's committee, which was organized to assist the Budget Bureau in paperwork management and also statistical improvement in this field, decided to take the initiative to determine what parts of the annual report form A of the Interstate Commerce Commission might be eliminated or simplified. This particular report probably is the bus industry's foremost filing task to Federal agencies in point of importance and burden.

The second meeting of the committee achieved agreement as to items in form A to be discussed with the Bureau of the Budget and the Interstate Commerce Commission having in mind either elimination, or simplification and improvement.

PRECISION OPTICAL INSTRUMENTS

Panel.
Meetings: March 28 and April 10, 1956.
Minutes: On file.

As an example of benefits to small business, the Council recently convened two advisory panels to consult with the Bureau of the Budget on a survey of manufacturing capacity and labor skills in the precision optical instruments industry. One meeting produced a greatly simplified form reducing by one-third or one-half the burden of filing. The other meeting, on occupational classifications and definitions resulted in the replacement of proposed definitions by a set of definitions designed by industry to accurately describe the dominant skills highly essential to the production of such high quality precision instruments.

PROMPT INDUSTRIAL SCRAP GENERATION (STEEL, COPPER AND ALUMINUM)

Panel.
Meeting: February 16, 1956.
Munutes: On file.

Defense and business service agencies of the Government submitted a survey for the collection of a considerable amount of information with regard to the amount of fresh metal scrap generated by type of scrap, type of industry, etc. An advisory panel meeting was held on February 16 as a result of which a complete revision of the survey plans is under way. At the time of the advisory meeting, it was generally agreed by Government and business officials that the original proposal was too burdensome and that in any further plans a reduction of about 50 percent should be made.

The significance of this saving, if the survey should be issued at all, may be judged from the fact that, although the canvass would be on a sample basis, it would apply to all metalworking establishments.

PUBLIC UTILITIES—ELECTRIC AND GAS

Committee.
Meeting: June 11, 1956.

Annual report form No. 1 of the Fede-al Power Commission which at present largely conforms to the annual reports required by the various State commissions, is, nevertheless, in need of further simplification in the opinion of the council's committee on public utilities. As it would be of little advantage to eliminate parts of the Federal form without maintaining uniformity with these State requirements, the committee will meet on June 11 in Chicago with the committee on statistics and accounts of the National Association of Railroad and Utility Commissioners to work out further simplifications in both Federal and State requirements while preserving maximum uniformity, through the elimination of schedules, or parts of schedules in oth State and Federal forms.

Major saving in paperwork are among the incentives to this objective.

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RADIO AND TELEVISION BROADCASTING

Committee.
Meeting: May 15, 1956.
Minutes: Due.

The council's committee has appointed a subcommittee to make an intensive study of the radio-television renewal application form of the Federal Communications Commission. A major question before the committee and Government officials in the Bureau of the Budget and the Federal Communications Commission is whether a separate renewal application should be developed for radio stations. In this connection, a question of policy confronts the FCC in addition to the question of relative advantage in the form of paperwork savings and filing costs. A joint meeting of industry and Government representatives is set for July.

The council's committee on radio and television broadcasting has enjoyed a 10-year career of highly productive work and has achieved, in the opinion of broadcasting industry officials, many important savings on the paperwork front.

RAILROADS

Committee.
Consultation by mail.

The committee has engaged in a canvass of the railroad industry on outstanding targets cited in the Hoover Commission task force report, particularly those emanating from the Interstate Commerce Commission. The committee's report is expected soon.

RECORDS RETENTION

Committee.
Meeting: March 20, 1956.
Minutes: On file.

A select committee is working toward its first major achievement by a study of records retention requirements emanating from Federal agencies. This committee is designing a plan, which if adopted by the Bureau of the Budget and other Federal agencies, would employ a system of uniform limits on all future Government requirements involving the keeping of business records by subject firms. Estimates of potential savings are in the magnitude of $25 million in warehouse space, filing equipment, and clerical time avoided.

SHIPPING DOCUMENTS OF THE DEPARTMENT OF DEFENSE (FORM DD 250)

Panel.
Consultation by mail.

The council panel was instrumental in bringing about formulation of policy by the Office of the Secretary of Defense in regard to a workable documents system for pricing military inventories which could be imposed on defense contractors with a minimum of burden.

Clearance of the revised form DD 250 has been deferred pending receipt of the Defense Department's policy statement.

Revised form DD 250, when released, will be a consolidation, with substantial improvements over earlier nonstandard reports filing covering pricing, inventories, inspections, etc.

SUBCONTRACTING TO SMALL BUSINESS

This proposed survey represents one of the most important advisory review problems to come before the council. Six years ago, a similar proposal was carefully studied and was disapproved by the Bureau of the Budget on advice from the council based on the enormous amount of paperwork and clerical time which would be caused if the project went forward as submitted.

The purpose of the survey would have been to develop information on the amount of Federal expenditures for military procurement reaching small business. Since few small-business firms are prime contractors on military contracts, it was planned to proceed through prime contractors to several tiers of subcontracting, measuring the dollar amounts at each.

Within the last week, a greatly simplified version of the original plan was submitted to the Bureau of the Budget by the Department of Defense. Further improvements were suggested by the industry panel and adopted, the principal achievement being to clarify the obligation of the prime contractor to determine whether or not a particular subcontractor is or is not a small business. The prime may accept the representation that it is a small business. The form is also considerably simplified by calling for payments rather than commitments.

The significance of simplifying this project will be appreciated from the fact that one company, a holder of many prime contracts, purchases from 29,000 suppliers and first-tier subcontractors.

WATER TRANSPORTATION

The council will shortly convene a new committee on water transportation. Its first assignment will be to review vessel utilization and performance reports, copies of which have been distributed to the members for advance study. It is believed that these paperwork procedures offer opportunity for important economies and improvements.

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Appendix F

UNITED STATES GOVERNMENT STANDARD ACCOUNTING FORMS PRESCRIBED BY THE COMPTROLLER GENERAL

Standard Form No.	Title and Description
1012 Revised	Travel Voucher (original).
1012a Revised	Travel Voucher (memorandum).
1012b Revised	Travel Voucher—Continuation Sheet.
1012c Revised	Travel Voucher—(memorandum).
1013a Revised	Payroll for Personal Services Annual Salary Basis (Continuation Sheet) (original).
1013c Revised	Payroll for Personal Services Annual Salary Basis (Continuation Sheet) (memorandum).
1014 Revised	General Ledger (ruled).
1014A Revised	General Ledger (unruled no proof column).
1014C Revised	General Ledger (unruled, proof column).
1014M	Disbursing Office Ledger (ruled).
1015 Revised	Allotment Ledger (ruled).
1015A Revised	Allotment Ledger (unruled, no proof column).
1015B Revised	Allotment Ledger (Copy) (unruled, no proof column).
1015C Revised	Allotment Ledger (unruled, proof column).
1016 Revised	Distribution Ledger (ruled, columnar plan).
1016A Revised	Distribution Ledger (unruled, unit plan).
1016B Revised	Distribution Ledger (unruled, columnar plan).
1017C Revised	Register of Allotment Ledger Transactions.
1017E Revised	Register of Obligations Incurred (unruled).
1017F Revised	Distribution Register (unruled) (Used with S. F. 1016A–Revised).
1017G Revised	Journal Voucher.
1019 Revised	Account Current (original).
1019a Revised	Account Current (memorandum).
1023	Voucher Distribution Card (original, white; copy, salmon).
1032	Schedule of Disbursements (unruled, accounting machine form double).
1034 Revised	Public Voucher for Purchses and Services Other Than Personal (original).
1034a Revised	Public Voucher for Purchases and Services Other Than Personal (memorandum).
1035 Revised	Public Voucher for Purchases and Services Other Than Personal—Continuation Sheet (original).
1035a Revised	Public Voucher for Purchases and Services Other Than Personal—Continuation Sheet (memorandum).
1036 Revised	Statement and Certificate of Award.
1038 Revised	Application and Account for Advance of Funds.
1042	Schedule of _____ (double, unruled).
1047	Public Voucher for Refunds (original, letter form).
1048	Public Voucher for Refunds (memorandum, letter form).
1049	Public Voucher for Refunds (original, tabular form).
1050	Public Voucher for Refunds (memorandum, tabular form).
1055 Revised	Claim Against the United States for Amounts Due in the Case of a Deceased Creditor.
1064	Schedule of Disbursements.
1069 Revised	Voucher for Allowances at Foreign Posts of Duty (original).
1069a Revised	Voucher for Allowances at Foreign Posts of Duty (memorandum).
1072a Revised	Payroll for Personal Services Various Salary Bases (Continuation Sheet) (original).
1072c Revised	Payroll for Personal Services Various Salary Bases (Continuation Sheet) (memorandum).

Standard Form No.	Title and Description
1074a Revised	Payroll for Personal Services—Miscellaneous (Employees on Per Hour, Day, Week, Month, or Piecework Basis) (Continuation Sheet) (original).
1074c Revised	Payroll for Personal Services—Miscellaneous (Employees on Per Hour, Day, Week, Month, or Piecework Basis) (Continuation Sheet) (memorandum).
1074d Revised	Payroll for Personal Services—Miscellaneous (Employees on Per Hour, Dav, Week, Month, or Piecework Basis) (Continuation Sheet) (short form–original).
1074e Revised	Payroll for Personal Services—Miscellaneous (Employees on Per Hour, Day, Week, Month, or Piecework Basis) (Continuation Sheet) (short form–memorandum).
1075	Pay Receipt for Cash Payment—Not Transferable.
1076	Special Per Diem, etc., Payment (Not Transferable).
1080 Revised	Voucher for Transfers Between Appropriations and/or Funds (original, disbursement voucher).
1080a Revised	Voucher for Transfers Between Appropriations and/or Funds (memorandum, disbursement voucher).
1080b Revised	Voucher for Transfers Between Appropriations and/or Funds (collection voucher).
1080c Revised	Voucher for Transfers Between Appropriations and/or Funds (memorandum collection voucher).
1081 Revised	Voucher and Schedule of Withdrawals and Credits.
1090	Telephone Service Statement.
1091	Summary Telephone Service Statement.
1093	Schedule of Deductions From Payments to Contractor.
1094 Revised	United States Government Tax Exemption Certificate.
1094a Revised	United States (book cover).
1094b	United States (tabulation sheet).
1094c	United States Government Tax Exemption Identification Card.
1096	Schedule of Voucher Deductions.
1097 Revised	Voucher and Schedule to Effect Correction of Errors (original).
1097a Revised	Voucher and Schedule to Effect Correction of Errors (memorandum).
1098 Revised	Schedule of Canceled Checks.
1100 Revised	Notice of Exception and Reply to Exception.
1100a	Notice of Exception and Reply to Exception (Copy, for administrative use).
1101	Miscellaneous Obligation Record.
1103	United States Government Bill of Lading—Original.
1103a	United States Government Bill of Lading—Memorandum Copy.
1104	United States Government Bill of Lading—Shipping Order.
1105	United States Government Freight Waybill—Original.
1106	United States Government Freight Waybill—Carrier's Copy.
1107	Temporary Receipt in Lieu of United States Government Bill of Lading.
1108	Certificate in Lieu of Lost United States Government Bill of Lading—Original.
1108a	Certificate in Lieu of Lost United States Government Bill of Lading—Memorandum.
1109	United States Government Bill of Lading—Original—Continuation Sheet.
1109a	United States Government Bill of Lading—Memorandum—Continuation Sheet.
1110	United States Government Bill of Lading—Shipping Order—Continuation Sheet.
1111	United States Government Freight Waybill—Original—Continuation Sheet.
1112	United States Government Freight Waybill—Carrier's Copy—Continuation Sheet.
1113	Public Voucher for Transportation Charges (original).
1113a	Public Voucher for Transportation Charges (memorandum).
1114 Revised	Bill for Collection.

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Standard Form No.	Title and Description
1114a Revised	Official Receipt.
1114b Revised	Collection Voucher (For General Accounting Office).
1114c Revised	Collection Voucher (Copy) (For Administrative Office).
1115	Register of Bills Issued.
1119	Carrier's Claim Record.
1120	Transportation Request Accountability Record.
1121	Bill of Lading Accountability Record.
1125 Revised	Payroll Control Register.
1125A Revised	Payroll Control Register.
1126 Revised	Payroll Change Slip—Payroll Copy.
1126a Revised	Payroll Change Slip—Employee's Copy.
1126b Revised	Payroll Change Slip—Disbursing Officer's Copy.
1126c Revised	Payroll Change Slip—Administrative Copy.
1126d Revised	Payroll Change Slip—Personnel Copy.
1127 Revised	Individual Pay Card.
1128 Revised	Payroll for Personal Services—Payroll Certification and Summary (original).
1128a Revised	Payroll for Personal Services—Payroll Certification and Summary (memorandum).
1129 Revised	Reimbursement Voucher (original).
1129a Revised	Reimbursement Voucher (memorandum).
1130	Time and Attendance Report.
1131	United States Government Transit Bill of Lading (original).
1131a	United States Government Transit Bill of Lading—Memorandum Copy.
1132	United States Government Transit Bill of Lading—Shipping Order.
1133	United States Government Transit Freight Waybill—Original.
1134	United States Government Transit Freight Waybill—Carrier's Copy.
1135	Time and Attendance Report (short form).
1136	Time and Attendance Report (long form).
1137	Leave Record.
1143 Revised	Advertising Order (original).
1143a Revised	Advertising Order (memorandum).
1144 Revised	Public Voucher for Advertising (original) (Reverse of S. F. 1143).
1144a Revised	Public Voucher for Advertising (memorandum) (Reverse of S. F. 1143a).
1145	Voucher for Payment Under Federal Tort Claims Act (original).
1145a	Voucher for Payment Under Federal Tort Claims Act (memorandum).
1146	Public Voucher for Purchases and Services Other Than Personal (For Use in Foreign Countries Only) (original).
1146a	Public Voucher for Purchases and Services Other Than Personal (For Use in Foreign Countries Only) (memorandum).
1147	Request for Issuance of Replacement Check Due to Error in Name and/or Designation of Payee
1148	Statement of Depositary Account and Report of Checks Drawn
1150 Revised	Record of Leave Data Transferred.
1151 Revised	Nonexpenditure Transfer Authorization.
1152	Designation of Beneficiary, Unpaid Compensation of Deceased Civilian Employee.
1153 Revised	Claim of Designated Beneficiary and/or Surviving Spouse for Unpaid Compensation of Deceased Civilian Employee.
1154 Revised	Public Voucher for Unpaid Compensation Due a Deceased Civilian employee (original).
1154a Revised	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee (memorandum).
1155	Claim for Unpaid Compensation of Deceased Civilian Employee (No Designated Beneficiary or Surviving Spouse).

Standard Form No.	Title and Description
1156	Public Voucher for Fees and Mileage of Witnesses (original).
1156a	Public Voucher for Fees and Mileage of Witnesses (memorandum).
1157	Claim for Fees and Mileage of Witness (original).
1157a	Claim for Fees and Mileage of Witness (memorandum).
1160	Grant and/or Schedule of Foreign Allowances for Temporary Lodging, Quarters, Post, Transfer, and Separation.
1161	Public Voucher for Payments to Participants in Cultural-Cooperation Programs (original).
1161a	Public Voucher for Payments to Participants in Cultural-Cooperation Programs (memorandum copy).
1162	Public Voucher for Payments to Participants in Cultural-Cooperation Programs (Continuation Sheet) (original).
1162a	Public Voucher for Payments to Participants in Cultural-Cooperation Programs (Continuation Sheet) (memorandum copy).
1163	Register of Changes in Payments to Participants in Cultural-Cooperation Programs.
1164 Revised	Claim for Reimbursement for Expenditures on Official Business.
1165	Receipt for Cash—Subvoucher (With Stub, Interim Receipt for Cash).
1166	Voucher and Schedule of Payments (original).
1166a	Voucher and Schedule of Payments (memorandum).
1167	Voucher and Schedule of Payments (Continuation Sheet) (original).
1167a	Voucher and Schedule of Payments (Continuation Sheet) (memorandum).
1168 Revised	Request for Issuance of United States Savings Bonds (original).
1168a Revised	Request for Issuance of United States Savings Bonds (memorandum).
1168b Revised	Request for Issuance of United States Savings Bonds (memorandum).
1168c Revised	Request for Issuance of United States Savings Bonds (memorandum).
1169	The United States of America Transportation Request—Original.
1169a	Memorandum Card Copy.
1169b	Duplicate (snapout assembly only).
1169c	Triplicate (snapout assembly only).
1170	Redemption of Unused Tickets.
1171	Public Voucher for Transportation of Passengers—Original.
1171a	Public Voucher for Transportation of Passengers—Memorandum Copy.
1172	Certificate in lieu of Lost United States of America Transportation Request.
1173	Report of Change in Passenger Transportation Service.
1174	Claim of Designated Beneficiary for Unpaid Pay and Allowances of Deceased Member of the Uniformed Services.
1175	Claim for Unpaid Pay and Allowances of Deceased Member of the Uniformed Services (No Designated Beneficiary).
1176	Public Voucher for Unpaid Pay and Allowances Due a Deceased Member of the Uniformed Services.
1176a	Public Voucher for Unpaid Pay and Allowances Due a Deceased Member of the Uniformed Services (memorandum).
1177	Addressograph Plate Notice—Savings Bonds.
1219	Statement of Accountability (Account Current) (original).
1219A	Statement of Accountability (Account Current) (memorandum).
1220	Statement of Transactions According to Appropriations, Funds, and Receipt Accounts (In support of Statement of Accountability) (original).

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Standard Form No.	Title and Description
1220A	Statement of Transactions According to Appropriations, Funds, and Receipt Accounts (In support of Statement of Accountability) (memorandum).
2800	Application for Death Benefits.
2801	Application for Retirement.
2802	Application for Refund of Retirement Deductions.
2803	Application for Service Credit.
2804	Election to Make Voluntary Contributions.
2805	Request for Recovery of Debt Due the United States.
2806	Individual Retirement Record.
2806–1	Notice of Correction of Individual Retirement Record.
2807	Register of Separations and Transfers.
2807–1	Register of Adjustments.
2807–2	Annual Summary of Retirement Fund Transactions.
2808	Designation of Beneficiary.

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